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Sheila Kampa-Kokesch
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**EXECUTIVE COACHING AS AN INDIVIDUALLY TAILORED
CONSULTATION INTERVENTION: DOES IT
INCREASE LEADERSHIP?**

by

Sheila Kampa-Kokesch

**A Dissertation
Submitted to the
Faculty of The Graduate College
in partial fulfillment of the
requirements for the
Degree of Doctor of Philosophy
Department of Counselor Education and
Counseling Psychology**

**Western Michigan University
Kalamazoo, Michigan
August 2001**

**EXECUTIVE COACHING AS AN INDIVIDUALLY TAILORED
CONSULTATION INTERVENTION: DOES IT
INCREASE LEADERSHIP?**

Sheila Kampa-Kokesch, Ph.D.

Western Michigan University, 2001

The purpose of this study was to: (a) consolidate/critique the executive coaching practice literature and empirical research to determine what is known about executive coaching as an individual consultation intervention, and (b) provide additional knowledge about outcomes by testing whether executive coaching affects leadership as measured by the MLQ 5x (Short Form) (Bass & Avolio, 1995).

Twenty-seven coaches, 50 clients (pre/early- or post/late coaching), and 62 direct-report/peers participated. Coaches provided demographic information, invited client participation, and distributed surveys to clients. Clients provided demographic information, rated themselves on a leadership instrument, and invited direct-report/peer participation. Direct-report/peers rated clients' leadership using a different version of the same instrument.

In analyzing the results, the present sample of coaches were more often women and less likely to possess graduate degrees than coaches in previous research. Clients were also more likely women than clients in previous executive coaching research. Further, clients were different from leaders in previous MLQ research in that both pre/early- and post/late-coaching clients scored consistently higher on

active leadership and lower on passive leadership. These results may reflect whom coaches identified to participate, i.e., clients who were already strong leaders. They may also reflect the leadership gains of pre/early-coaching clients in the 2 months of coaching that they received prior to this study. Finally, it is possible that only leaders who are “good enough” receive executive coaching. Therefore, coaching may be more about *enhancing* versus *developing* leadership.

Statistically significant and meaningful differences occurred between pre/early-coaching and post/late-coaching clients on passive leadership. Statistically significant differences also occurred for client perceptions of impacting followers. Finally, statistically significant and meaningful differences occurred when examined for clients in upper-management and CEO positions with post/late-coaching clients rating higher on charismatic behavior, ability to impact followers, and inspire followers. These differences were examined only through client ratings and may be less accurate measures of change.

These findings have implications for coaches, clients, and organizations because they suggest that executive coaching does impact leadership. Additional research needs to more clearly determine what the effects are, whom they occur for, and whether they imply leadership development or enhancement.

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Sheila Kampa-Kokesch

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CHAPTER I

INTRODUCTION AND LITERATURE REVIEW

Executive coaching as a consultation intervention has received increased attention in the literature within the past decade. Within the literature, executive coaching has been proposed as an intervention aimed towards helping executives improve their performance and consequently the performance of the overall organization (Kilburg, 1996a). Whether or not it does what it proposes, however, remains largely unknown due to the lack of empirical research. As a result, some are questioning whether executive coaching is just another fad among the many appearing in consultation and business.

Those who are skeptical of executive coaching are not alone in the pursuit of executive coaching outcomes; proponents of executive coaching are also concerned with outcomes. Despite the recent attention executive coaching has received in the literature, little empirical research has been conducted regarding the effectiveness of executive coaching as a consultation intervention. One way to conceptualize the effectiveness of executive coaching is by considering the impact it has on leadership. Arguably, leadership is the main role of any executive. When asked on a survey to project what the emphasis on executive education and training will be over the next 3 to 5 years, executives overwhelmingly identified leadership as the main area of focus (Mann & Staudenmier, 1991). Though the projection is for the mid 1990s, leadership

seems to remain a focus today. Therefore, if executive coaching is found to increase leadership, it would gain increased value as a consultation intervention.

One form of leadership is transformational leadership. Transformational leadership, as it augments transactional leadership, is considered one of the most effective types of leadership (Bass, 1985; Gasper, 1992; Lowe, Kroek, & Sirvasubramaniam, 1996), especially in environments characterized by constant change (Bass, 1985, 1997). In these environments, transformational leaders not only welcome change but also help bring it about. They provide a vision for followers and facilitate innovative thinking and problem solving to help attain that vision. Transformational leadership motivates people to achieve at higher levels and to transcend their own interests for the good of the organization (Bass, 1998).

Since transformational leadership is recognized as one of the most effective forms of leadership for changing environments (Bass, 1985; Lowe et al., 1996) and since today's organizations are in the midst of constant change and therefore in need of good leadership, an intervention geared towards executives and their performance should also be geared towards leadership. Executive coaching, as a tool for improving executive and organizational performance, should also increase leadership. And, if transformational leadership is the most effective form of leadership, then it logically follows that executive coaching should increase transformational leadership.

The purpose of this study was to investigate whether executive coaching does impact leadership. First, however, a thorough review of the executive coaching literature is provided in the remaining sections of this chapter. Also provided in this

chapter is a review of Burns' (1978) and Bass's (1985) transformational leadership theory and Bass's (1985) transformational leadership model, later revised to the Full-Range of Leadership Model (Avolio & Bass, 1991). This chapter also provides discussions of how to develop and measure leadership and concludes with a more detailed description of the purpose of this study including a statement of hypotheses.

Executive Coaching Literature Review

Executive coaching as a distinct intervention has received increased attention in the literature within the past few years (Garman, Whiston, & Zlatoper, 2000). *The Consulting Psychology Journal: Practice and Research* (1996) devoted an entire issue to the topic of executive coaching. All but one article in this special issue were practice based articles (Diedrich, 1996; Katz & Miller, 1996; Kiel, Rimmer, Williams, & Doyle, 1996; Levinson, 1996; Peterson, 1996; Saporito, 1996; Tobias, 1996; Witherspoon & White, 1996a) with the last article being a conceptual piece providing a framework and definition of executive coaching (Kilburg, 1996b).

Additional writings on executive coaching seem to cluster in three bodies of literature: the psychological (e.g., Brotman, Liberi, & Wasylyshyn, 1998; Diedrich, 1996; Foster & Lendl, 1996; Garman et al., 2000; Harris, 1999; Laske, 1999a; Richard, 1999; Sperry, 1993; Waclawski & Church, 1998); training and development (e.g., Filipczak, 1998; Hutchenson, 1996; Kiser, 1999; Koonce, 1994; Lary, 1997a; 1997b; Ludeman, 1995; Lukaszewski, 1998; O'Brien, 1997; Olesen, 1996; Thach & Heinselman, 1999; Witherspoon & White, 1996b, 1997) and business and

management literature (e.g., Banning, 1997; Bertagnoli, 2000; Brotherton, 1998; Darling, 1994; Dutton, 1997; Grover, 2000; Hardingham, 1998; Huggler, 1997; Hyatt, 1997; Judge & Cowell, 1997; Machan, 1998; Masciarelli, 1999; McCafferty, 1996; Morris, 2000; Nakache, 1997; Olivero, Bane, & Kopelan, 1997; Peterson & Hicks, 1999; Smith, 1993; Snyder, 1995; Tristram, 1996). Additional articles on executives or managers as coaches can also be found (e.g., Allenbaugh, 1983; Aurelio & Kennedy, 1991; Bell, 1987; Deblieux, 1998; Good, 1993; Graham, Wedman, & Garver-Kester, 1993; Orth, Wilkinson, & Benfari, 1987; Shore & Bloom, 1986; Waldroop & Butler, 1996).

Three book chapters (Hayes, 1997; Sperry, 1996; Strickland, 1997) and four books have also been devoted to the topic of executive coaching (Douglas & Morley, 2000; Kilburg, 2000; O'Neill, 2000; Witherspoon & White, 1997). Other books that address coaching executives or managers (e.g., Bradford & Cohen, 1984; Deeprise, 1995; Ericsson, 1996; Flory, 1965; Gilley & Boughton, 1996; Hargrove, 1995; Martin, 1996; Maxwell, 1995; Miller & Brown, 1993; Minor, 1995; Robinson, 1996; Shula & Blanchard, 1995; Voss, 1997) from a general business coaching paradigm rather than a consultative one (Kilburg, 2000) can also be found.

In addition to the increased attention to executive coaching in the practice-based literature, there is a small amount of empirical research. Seven empirical studies have been reported on executive coaching: one investigating the outcomes of executive coaching in a public sector agency (Olivero et al., 1997), the second surveying current executive coaching practices (Judge & Cowell, 1997), the third

investigating the effectiveness of executive coaching through quantitative and qualitative methods (Gegner, 1997), the fourth interviewing both executives and coaches regarding executive coaching practice, effectiveness, and future directions (Hall, Otazo, & Hollenbeck, 1999), the fifth investigating the effects of EMDR as an adjunct to executive coaching (Foster & Lendl, 1996), the sixth exploring the transformative effects of executive coaching on an executive's professional agenda (Laske, 1999b), and the seventh examining public perceptions of executive coaching (Garman et al., 2000). The next sections of this chapter will review the practice-based literature as well as the empirical research.

Practice Literature

In reviewing the executive coaching practice-based literature, six themes seemed to emerge: (1) definition and standards, (2) purpose, (3) techniques and methodologies used, (4) comparison to counseling and therapy, (5) credentials of coaches and the best way of finding them, and finally, (6) recipients of services. The current section summarizes these six themes and provides an overview of three recent practice-based books on executive coaching and one general coaching book. Within each theme, the psychological, training and development, and business and management literature have been integrated. A single body of the literature is mentioned separately only if it makes a unique contribution within a particular theme.

Definition/Standards

A number of authors have stated that executive coaching as a distinct intervention remains poorly defined and regulated (Brotman et al., 1998; Kilburg, 1996a, 1996b, 2000; Tobias, 1996) with little training and research being conducted (Kilburg, 1996a, 2000; Sperry, 1996). Based on his reviews of the existing literature, Kilburg (1996b, 2000), proposes the following definition of executive coaching. He defines it as:

... a helping relationship formed between a client who has managerial authority and responsibility in an organization and a consultant who uses a wide variety of behavioral techniques and methods to help the client achieve a mutually identified set of goals to improve his or her professional performance and personal satisfaction and, consequently, to improve the effectiveness of the client's organization within a formally defined coaching agreement. (Kilburg, 2000, p. 67)

Based on the current review of the literature, Kilburg's definition appears to represent a fairly comprehensive view on how many have discussed and defined executive coaching in the literature (Judge & Cowell, 1997; Kiel et al., 1996; Levinson, 1996; Olesen, 1996; Peterson, 1996; Richard, 1999; Saporito, 1996; Sperry, 1993, 1996; Tobias, 1996; Witherspoon & White, 1996a, 1996b, 1997). Additional components mentioned by various authors include executive coaching as a highly confidential, personal learning process that focuses not only on interpersonal issues but also intrapersonal ones (O'Brien, 1997; Witherspoon & White, 1996a). Executive coaching has also been defined as an on-going relationship, usually lasting anywhere from a few months to a year or more (Diedrich 1996; Levinson, 1996), in which the coach does not have any direct authority over the executive (Witherspoon

& White, 1996a). As an intervention, it can be used both for developmental and remedial purposes, and seems to occur in six stages: relationship building, assessment, feedback, planning, implementation, and evaluation/follow-up (Diedrich, 1996; Harris, 1999; Judge & Cowell, 1997; Kiel et al., 1996; Kilburg, 1996a, 1996b; Koonce, 1994; Levinson, 1996; Lukaszewski, 1998; O'Brien, 1997; Olesen, 1996; Peterson, 1996; Richard, 1999; Saporito, 1996; Sperry, 1993, 1996; Tobias, 1996; Witherspoon & White, 1996a, 1996b, 1997).

Guidelines for successful coaching have been proposed by various individuals, (e.g., Kiel et al., 1996) but to date, no standards or guidelines have been widely adopted. The International Coach Federation (ICF) recently held a summit to better define executive coaching and develop more complete standards and practice guidelines. Although these results have not been formally published, they can be found on the federation webpage (<http://www.coachfederation.com/exec-coaching-summit.htm>). The ICF's definition of executive coaching is:

Executive coaching is a facilitative one-to-one, mutually designed relationship between a professional coach and a key contributor who has a powerful position in the organization. This relationship occurs in areas of business, government, not-for-profit, and educational organizations where there are multiple stakeholders and organizational sponsorship for the coach or coaching group. The coaching is contracted for the benefit of a client who is accountable for highly complex decisions with [a] wide scope of impact on the organization and industry as a whole. The focus of the coaching is usually focused on organizational performance or development, but may also have a personal component as well. The results produced from this relationship are observable and measurable . . . (p. 3)

What the ICF definition excludes, is coaching clients who seek executive coaching independently from their organization; therefore, no organizational sponsorship occurs.

Regarding guidelines, as mentioned above, the ICF is developing them, however, Brotman et al. (1998) make the argument that the American Psychological Association is best suited to this task since psychologists possess most of the skills necessary to provide executive coaching services. What psychologists do not necessarily possess, however, is business knowledge (see Harris, 1999; Saporito, 1996).

Purpose

There are a number of reasons provided in the practice literature for the increased use of executive coaching including the fact that many high performing individuals (athletes, performers, and public speakers) have all used coaching throughout history as a means of improving their performance so it makes sense that executives would as well (Witherspoon & White, 1996a, 1997). Another reason includes the rapidly changing global economy necessitating continued development (Sperry, 1993), which according to Bass (1985) is the condition under which transformational leadership is necessary. Other reasons include the lack of opportunities provided executives for growth (Kiel et al., 1996; Saporito, 1996), the realization by business that poor executive leadership can lead to financial ruin (Kilburg, 1996b), and the recognition that interpersonal skills are key in effectively

managing oneself and those in a company (Levinson, 1996). Interpersonal skills, to the extent that they help leaders consider follower needs were also recognized by Bass (1985) as an important leadership ability, and one demonstrated by transformational leaders.

In an article on leadership, Hogan, Curphy, and Hogan (1994), state that up to 50% of executives will fail to advance in their careers, which is a high percentage according to Kilburg (1997) who suggests that organizations today do not have the tools to help their executives succeed. It should be noted, however, that not all executives can advance as a result of fewer positions in the upper most organizational levels. Regardless, the number is noteworthy and may be at least one of the reasons why organizations and executives are turning to outside sources for executive coaching.

By turning outward to an executive coach, executives may receive something valuable that they are missing. Lukaszewski (1998) identifies the inability to gain access to people who ask questions, provide advice, and give counsel as the greatest difficulty facing senior executives. He noted that most people close to executives are afraid, or do not know how, to confront them regarding their behavior. The purpose of executive coaching is to provide these functions. An executive coach's role is to provide feedback to the executive about his or her behavior and the impact it has on others both within and outside the organization (O'Neill, 2000; Witherspoon & White, 1996b). Given feedback, executives gain increased self-awareness, self-esteem,

and better communication with peers and subordinates (Kilburg, 1996b), which in turn may lead to increased morale, productivity, and profits (Smith, 1993).

Techniques/Methodologies

Unlike the previously discussed themes, in which each body of literature contributed to the summaries, the psychological literature makes a unique contribution to the techniques and methodologies theme. The special issue of the *Consulting Psychology Journal: Practice and Research* (1996) reviewed a number of executive coaching models, often including case studies to illustrate key points. For example, Diedrich (1996) described a “comprehensive planning process that assesses critical competencies and guides the development of the executive” (p. 61). Katz and Miller (1996) explained an approach based on diversity and inclusion. Kiel et al. (1996) and Tobias (1996) both took a systems-oriented approach whereas Levinson (1996) based his approach on psychological skills and insight. Peterson (1996) adopted an approach based on five coaching strategies supported by research and experience at Personnel Decisions International, the first management consulting firm to offer a coaching program that was both structured and individually based (Hellervik, Hazucha, & Schneider, 1992). Saporito (1996) described a business-linked executive development approach, and Witherspoon and White (1996a, 1997) proposed a model based on four different coaching roles: coaching for skills, performance, development, and the executive’s agenda. Considering existing executive coaching models, Kilburg (1996b, 1997, 2000) proposed a 17-dimension

model based on systems and psychodynamic theory. Additional models have since been offered including the unpublished model of Waclawski and Church (1999) focusing on feedback utilization via the executive coaching process, Richard's (1999) multi-modal model, and Laske's (1999a) developmental approach which integrates "agentic" and "ontic" development (p. 139).

Although a myriad of approaches to executive coaching has been proposed, there is overlap among them. For example, there appears to be agreement regarding the stages of executive coaching: relationship building, assessment, intervention, follow-up and evaluation. These stages are typically consistent with most consultation interventions. There is also agreement regarding desirable assessment techniques and instrumentation, including 360 degree feedback questionnaires, qualitative interviews, and psychological instruments such as personality and leadership style inventories (Brotman et al., 1998; Diedrich, 1996; Harris, 1999; Kiel et al., 1996; Kilburg, 1996b; Peterson, 1996; Richard, 1999; Saporito, 1996; Tobias, 1996; Witherspoon & White, 1996a). The purpose of these instruments is to gather data to present to the client.

There is further agreement that presenting data, or feedback, is a critical component of executive coaching (Diedrich, 1996; Waclawski & Church, 1998; Witherspoon & White, 1996a). Kiel et al. (1996) stated that executives trust data and therefore come to trust the executive coaching process when data are provided. Waclawski and Church (1999) regard feedback as so critical to the executive coaching process that they developed a four-stage model for feedback utilization via the executive coaching process. They argue that it is through proper feedback that

executives can come to understand patterns in the data gathered, work through their resistance to hearing the data, and identify and generate a developmental plan for behavioral change.

Even though the above overlap exists between models, specific models are worth reading for their unique contributions to the coaching process. Particularly, Laske's (1999a) developmental model and Kilburg's (1996b) 17-dimensional model, which both provide greater contexts for understanding executive coaching and executive development. Witherspoon and White's (1996a) model based on four different approaches to executive coaching is also helpful for understanding the various foci that coaching can have.

Distinguishing From Counseling/Psychotherapy

Due to the concern that executive coaching practices mirror too closely the practices of counseling or psychotherapy, a number of individuals have discussed the differences between the two interventions (Kilburg, 2000; Levinson, 1996; Richard, 1999; Saporito, 1996; Sperry, 1993, 1996; Tobias, 1996). In reviewing this literature, a number of ideas seem to repeat. For example, executive coaching occurs in the workplace with the intention of improving the executive's workplace interpersonal skills and ultimately his/her workplace performance. It is more issue focused than therapy, and occurs in a broader array of contexts including face-to-face sessions, meetings with other people, observation sessions, over the telephone or email, in a restaurant, or in the executive's home (Richard, 1999; Sperry, 1993, 1996). Coaching

sessions can last anywhere from a few minutes to a few hours (Sperry, 1996) whereas therapy typically occurs in a 45–50 minute interval. Also, unlike counseling or psychotherapy, data are collected from many sources, including the individual executive, his/her superiors, peers, subordinates and/or family members (Brotman et al., 1998; Diedrich, 1996; Harris, 1999; Kiel et al., 1996; Kilburg, 1996b; Peterson, 1996; Richard, 1999; Witherspoon & White, 1996a). Other differences between coaching and therapy include being able to be more directive in executive coaching (Levinson, 1996; Richard, 1999) and viewing the relationship between the executive and the coach more as one of peers (Levinson, 1996; Tobias, 1996) since the need for executive self-disclosure may not be as great as it is for counseling/therapy clients (Saporito, 1996). Kilburg (2000) stated that although the principles of counseling/therapy can enhance executive coaching, the main difference is the depth to which issues are pursued and processed.

Not only are differences in the processes between executive coaching and therapy being debated, but differences between the qualifications of executive coaches and psychotherapists are also being discussed. Differences include the need for the executive coach to understand not only psychological dynamics and adult development, but also to be aware of business, management and political issues (Harris, 1999; Kiel et al., 1996; O'Neill, 2000, Saporito, 1996; Sperry, 1996; Tobias, 1996). It could be argued that possessing knowledge of leadership is also essential. It has also been stated that executive coaching is measured in numerical terms, or in terms of the bottom line performance for the executive and for the business, whereas

counseling/psychotherapy is measured mainly by client self-report (Richard, 1999; Saporito, 1996). Data on these end results, or financial gains for business, however, are largely missing in the existing literature on executive coaching. What also seems to be missing, is the more substantive ways in which executive coaching and therapy differ. The examples provided above seem somewhat logistical in nature. Even Kilburg (2000) stated that “. . . the boundaries are not crisply drawn lines . . .” (p. 227).

Credentials of Executive Coaches

The fourth point often discussed in the literature on executive coaching deals more generally with qualifications for service delivery (Brotman et al., 1998; Harris, 1999; Kilburg, 1996a, 1997; Sperry, 1993, 1996). Again, the psychological literature seems to address this concern more fully than the other bodies of literature. The main issue discussed involves the myriad backgrounds of executive coaches. Currently, professionals from business, teaching, law, and sports are claiming to be executive coaches (Brotman et al., 1998; Kilburg, 1996a). In part, this is a result of the increased demand for executive coaching and as such, there is concern over unqualified professionals making claims and threatening the legitimacy of executive coaching as a viable intervention (Harris, 1999; Kilburg, 2000).

Regarding qualifications, there seem to be two separate but related attitudes represented in the psychological literature. The first is the belief that psychologists already possess a large number of the skills needed to provide executive coaching,

and therefore are the most qualified services providers (Brotman et al., 1998; Kilburg 1996b; Sperry, 1993, 1996). These skills include the ability to respect confidentiality and maintain highly intense relationships with objectivity. Brotman et al., (1998) argues that psychologists are the most uniquely qualified to define what is required to be an executive coach when behavior change is the desired outcome, which inevitably is the case. The reasons behind his argument include the ability of the psychologist to: establish safety in relationships, confront the executive on the reality of his or her behavior, and use the executive's developmental history and test data to identify themes in the executive's life. Furthermore, psychologists possess an understanding of psychological tests, cognitive style, managerial style, motivation, aptitude, etc. Kilburg (1997) also lists a number of skills psychologists possess that make them qualified to provide executive coaching services. These skills include the ability to listen, empathize, provide feedback, create scenarios, challenge, and explore the executive's world. Kilburg (2000) states that although one does not necessarily have to be a psychologist to provide executive coaching services, having psychoanalytic knowledge greatly enhances the possible results from coaching. It is important to note, however, that not all psychologists possess psychoanalytic knowledge.

The second attitude regarding qualifications is related to the first. Many argue that even though a psychological background provides many of the necessary skills to provide executive coaching services, it alone is not sufficient. Having an awareness of business, management, and political issues is also necessary to be effective (Harris,

1999; Kiel et al., 1996; Levinson, 1996; Saporito, 1996; Sperry, 1996; Tobias, 1996).

It could also be argued that knowledge of leadership is also necessary.

Although the business and management literature does not directly address the issue of coach credentials, it contributes to the literature by more fully discussing the process of finding an executive coach. According to Banning (1997) and Smith (1993), a company's Human Resources department, a superior, or a friend are some of the most common ways of finding a coach. Banning (1997) lists three important criteria in finding a coach: trustworthiness, compatible chemistry, and solid reputation. Smith (1993) calls attention to the focus of the executive coach, noting that some adopt a more behavioral focus, while others employ a more psychoanalytic focus. However, he states that most exist somewhere in between. The training and development literature also provides some helpful hints in selecting a coach. Thach and Heinselman (1999) suggest selecting coaches who have previous executive coaching and 360 degree assessment experience, knowledge of corporate environments and developmental processes, and the ability to be confrontational yet supportive while also maintaining confidentiality. Again, I would argue for the importance of having leadership knowledge as well.

Recipients of Services

Koonce (1994) stated that the consumers of executive coaching are executives who have been solid performers but whose current behaviors are interfering and putting the company at risk. A recent survey of leading companies conducted by

Fortune presents a somewhat different view. According to this survey, the main consumers of executive coaching range from middle managers to CEOs, or CEO contenders (Witherspoon & White, 1996b). Witherspoon and White further state that coaching clients are usually valued by the company because of certain skills they possess and because they are highly motivated individuals. These clients are typically looking for ways to refine and enhance their skills in order to continue in their current positions or move up into more advanced positions. Kiel et al. (1996), in the psychological literature, state that one fourth of the executives who seek executive coaching are moving up within an organization or their career, one half are increasing their leadership responsibilities, and one fourth are having difficulties in their current job. Therefore, three fourths are using executive coaching for developmental purposes and only one fourth for remedial purposes.

Recent Books on Executive Coaching

The rapid expansion of the literature on executive coaching has included the publication of several books. Two recent executive coaching books (Kilburg, 2000; O'Neill, 2000) are summarized here because they provide comprehensive discussions of current practice and offer practical advice for persons interested in developing an executive coaching practice. The classic more general coaching text by Hargrove (1995) is also summarized as many of his general coaching principals apply to executive coaching and he is often cited in the executive coaching literature (see Kilburg, 2000; O'Neill, 2000). The book by Witherspoon and White (1997) is not

reviewed here since the same information can be found in their 1996 article which was cited numerous times throughout earlier sections of this chapter.

O'Neill (2000), *Executive Coaching With Backbone and Heart*, proposes a systems approach to working with leaders and their challenges. She states that the book is written for those coaching organizational leaders and focuses on the presence of coaches versus coaching techniques. She defines presence as being able to join leaders in a partnership, meeting them where they are in their struggles, and being assertive in one's position as coach, while staying in relationship with leaders. O'Neill identified presence as the most important principle and tool of executive coaching. She further identified the importance of focusing on the system of interaction between leaders and those with whom they work most closely, as an additional principle that guides her approach. Applying these two principles, according to O'Neill, allows for the effective implementation of a coaching method. O'Neill's coaching method involves four phases: contracting, action planning, live-action planning, and debriefing. One chapter within the book is devoted to each phase. Additional chapters are devoted to developing a presence with clients, using a systems perspective, and how to transition into being an executive coach. Case illustrations are used throughout the book to illustrate ideas.

Kilburg (2000), *Executive Coaching: Developing Managerial Wisdom in a World of Chaos*, is currently the most comprehensive book on conducting executive coaching from a psychological and psychodynamic perspective. It is also the most complex. The author identifies the purpose of this book as narrowing the gap between

... the growing understanding of the importance of complexity theory, human behavior, and the psychodynamic aspects of organizational and managerial life and the lack of practical guidance for how consultants and coaches can and should work with executives and managers on issues, performance problems, and dimensions of human behavior that have shadow [hidden] components. (pp. 18–19)

He fulfills this purpose by providing a conceptual framework using systems and psychodynamic principles to understand executive character, organizational structure, and executive coaching work. He then uses consultation cases to illustrate this framework and the methods and techniques used to effectively intervene as a coach or consultant. In addition, he addresses how to manage particular problems that can be elicited when working with executive thoughts, feelings, defenses, and conflicts.

Hargrove (1995), *Masterful Coaching: Extraordinary Results by Impacting People and the Way They Think and Work Together*, is a book on transformational coaching. Hargrove defines transformational coaching as a process that “shows people how to transform or stretch their visions, values, and abilities” (p. 1). This definition seems similar to Bass’s (1985) vision of transformational leadership which focuses on helping transform the visions, values, and abilities of one’s followers. Hargrove states that transformational coaching helps people tap their inner drive and ambition, stretch their minds and abilities, and move toward action. The author states that this book synthesizes years of research and the practices of many coaches with the goal of helping the reader become a “masterful coach.” The book is divided into three parts. Part one addresses the process and journey of “becoming” and “being” a masterful coach, which to Hargrove is the key to effective coaching. Part two deals with group coaching and team learning. Finally, part three provides techniques and

methods for providing transformational coaching. Throughout all three sections, Hargrove interweaves theory and examples to illustrate his ideas.

Empirical Research

The above section focused on the practice-based literature. This section reviews the empirical-based literature. The following paragraphs review the seven existing studies of executive coaching (Foster & Lendl, 1996; Garman et al., 2000; Gegner 1997; Hall et al., 1999; Judge & Cowell, 1997; Laske, 1999b; Olivero et al., 1997) and discuss the link between these studies and the practice-based literature

The first study, conducted by Foster and Lendl (1996), was a case study investigating the effects of eye movement desensitization reprocessing (EMDR) within an executive coaching process with four individuals. The purpose of the study was to determine whether EMDR can enhance workplace performance. Participants were a pilot, former CEO, office manager, and tenured professor. Three of the four participants had experienced perceived performance setbacks, and one was seeking a career change and wanted assistance reducing her anxiety regarding interviewing. Adhering to the EMDR protocol, participants were asked to: (a) describe their setbacks or concerns, (b) specify the upsetting emotions tied to these incidents, (c) describe the current negative beliefs they held about themselves as a result of the setbacks or concerns, (d) identify the preferred belief about themselves in regard to the setback or concern, (e) follow the coach's fingers for a series of rapid eye movements, (f) consider again the distressing experience, and (g) repeat the eye

movements until the incidents were no longer distressing and the positive belief replaced the negative belief. Results were measured by assessing physical symptoms and negative emotions pre and post EMDR and behavior outcomes pre and post EMDR. Complete pre and post scores on EMDR and behavior outcomes for each participant, however, were not given.

Results from the Foster and Lendl (1996) study suggest that EMDR can be an effective method for desensitizing distressing workplace experiences and helping participants develop more positive beliefs about themselves regarding upsetting workplace incidents to replace negative beliefs. This study also suggests that EMDR may help improve workplace performance within an executive coaching process.

The second study was conducted by Olivero et al. (1997). They implemented an action research study investigating the effects of a behavioral approach (vs. a psychodynamic approach) to executive coaching in a public sector municipal agency. The intervention was conducted in two phases and emphasized (a) goal setting, (b) collaborative problem solving, (c) practice, (d) feedback, (e) supervisory involvement, (f) evaluation of end-results, and (g) presentation. Phase one consisted of classroom training emphasizing managerial competencies. Thirty-one trainees participated in phase one. Phase two consisted of an executive coaching process with the purpose of providing managers the opportunity to practice and obtain constructive feedback regarding the managerial competencies they learned in phase one. Of the 31 participants in phase one, eight coaching-participants received training on how to provide executive coaching services to the other 23 trainee-participants in phase two.

Part of the coaching experience required the 23 trainee-participants to develop a project plan to be used in coaching.

Results within each phase were measured along four dimensions: reactions, knowledge, behaviors, and outcomes. In phase one, participants reacted favorably to the training, giving it a mean rating of 4.87 on a 5-point Likert scale across five dimensions: usefulness of materials, instructor's knowledge, instructor's facilitation, overall instructor rating, and overall workshop rating. Knowledge of coaching scores increased significantly from 71% at pretest to 88% at posttest ($p < .001$). Participants also reported that the training they received would improve their skills but since these reports were future oriented they were not analyzed. As far as outcomes, the training phase alone increased overall productivity 22.4% as measured by the number of completed patient evaluation forms (statistical significance and p value not reported by Olivero et al., 1997).

Phase two included analyses of both qualitative and quantitative data. Qualitative data indicated that both coaches and coachees had favorable reactions to the coaching process. Two themes emerged from these data; coaching was beneficial to them personally and was beneficial to the overall agency. It is unclear, however, as to whether these themes emerged from both the coach and coachee responses or if they emerged from just the coachee responses. Reactions were not quantitatively measured. Quantitative data indicated a 20% increase in knowledge as measured by a small sample ($n = 4$) of coaches on pre- and posttest scores. The sample was too small to permit any statistical inferences and it is unclear as to whose knowledge was

being measured, the coaches or the coachees. Quantitative data also demonstrated a 65.6% increase ($p < .05$) in productivity during the implementation phase (phase 2) as compared to the training phase (phase one) alone. These results suggest that executive coaching does increase productivity. Productivity in the present study will be measured in two ways: (1) the extra effort put forth by direct-reports and direct-report/peer ratings of effectiveness, and (2) client ratings of their ability to influence direct-reports to put forth extra effort and their ratings of their effectiveness.

Regarding the limitations of this study, Olivero et al. (1997) offered several including the fact that it was a field experiment and random assignment of participants was not permitted. Also, due to the nature of the study, several threats to internal validity occurred. For example, it could be argued that additional training could have produced the benefits found during the coaching phase. Indeed it could be argued that coaching provided an opportunity for additional training instead of an opportunity for a substantially different kind of learning experience. It also remains unclear as to which of seven distinct steps in the coaching process contributed to the observed effects. Although the authors believed that steps one and seven, goal setting and public presentation, were key, they encouraged future research into the relative importance of each step. They also recommended that a training only condition and a coaching only condition be compared to one another to distinguish more clearly between these two forms of learning.

The third study of executive coaching was a survey conducted by Judge and Cowell (1997) to better understand the practice of executive coaching. They surveyed

60 coaches regarding their qualifications and backgrounds, characteristics of the coaching industry including fees and contractual agreements, and the process and assessments used in coaching. They also looked at the typical recipients of executive coaching, the issues most often presented by executives, and what one should look for and expect in an executive coach. Although this study provides some valuable data, there is a lack of information regarding the methodology, which limits the applicability and generalizability of the findings. Therefore findings should be viewed as tentative.

Judge and Cowell (1997) reported that executive coaches come from a wide range of educational backgrounds with undergraduate degrees ranging from drama to psychology. Of their participants, roughly 90% had master's degrees concentrated in business and the social sciences and approximately 45% had doctoral degrees. Many belonged to professional associations such as the American Society for Training and Development (ASTD), and some were licensed to practice psychology in the state where they conducted business. Sixty percent of the coaches surveyed were male; 80% were between the ages of 35 and 55, and they averaged 24 years of work experience. Some worked for large companies employing more than 10 coaches, while most worked for smaller companies or worked independently. Most charged by the hour for their services with fees ranging from \$75 to \$400 per contact hour, and most worked on a contractual basis. Approaches to coaching ranged from more behavioral to more psychoanalytic in nature, but regardless of orientation, the

majority of coaches conducted 360 degree assessments by interviewing people close to the executive (supervisors, peers, subordinates, and at times, family).

Recipients of executive coaching services in the Judge and Cowell (1997) study were typically mid-level-senior managers, half were CEOs or reported to CEOs. Recipients sought coaching voluntarily approximately half of the time and were required to seek it the other half. They tended to fall within one of three categories: (1) individuals who were valuable but demonstrating difficulty in one or more area, (2) individuals who desired improved leadership skills, or (3) professionals other than executives including lawyers, doctors, architects, etc. This last category was unexpected by the researchers. Regardless of which category recipients were in, the most common requests were to help them (a) modify their interaction style, (b) deal more effectively with change, and (c) build trusting relationships. All of these reasons, particularly dealing more effectively with change, occur more easily for transformational leaders (Bass, 1985).

The findings of Judge and Cowell (1997) informed the present study on sample typicality among coaches and clients. To determine whether the present sample of coaches were typical of the coaches in Judge and Cowell, coaches were asked to identify their educational background, professional affiliations, age, years of work experience and place of employment. To determine whether the present sample of clients were typical of the clients in Judge and Cowell, clients were asked to identify their educational background, organizational levels, reasons for seeking executive coaching, and their goals for executive coaching.

The fourth study conducted by Gegner (1997) was a cross-sectional field study investigating the effectiveness of executive coaching through quantitative and qualitative methods. More space is devoted to reviewing this research as compared to the previously described studies because its design and methodologies matched more closely the present study. Through coaches, who acted as distributors of research materials, Gegner surveyed 48 executives about their coaching experience. She then conducted 25 follow-up interviews to gain additional information regarding (a) how executives became involved in coaching, (b) how a performance base-line was established prior to coaching and the resultant gains from coaching, (c) greatest obstacles to coaching, (d) most valuable learning experience (e) whether coaching affected other life-areas, and (f) any additional information executives wanted to share.

The survey was a 52-item, Likert scale Coaching Experience Survey designed by Gegner (1997) for her study. It consisted of two parts. The first asked executives to rate the effectiveness of the coaching process across eight variables, determined through the literature, to be inherent in the executive coaching process: (1) goals, (2) feedback, (3) self-efficacy, (4) rewards, (5) communication style, (6) interpersonal style, (7) responsibility, and (8) awareness. Each variable on the instrument contained five statements that executives were to rate. Ratings were from “highly effective” to “highly ineffective.” Example statements are: goals were mutually agreed upon (goals), feedback focused on specific behaviors (feedback), achievements due to coaching increased my confidence levels in other areas (self-efficacy), recognition by

the coach encouraged my progress (rewards), my ideas were listened to attentively (communication style), the coach established a climate of trust (interpersonal style), I have chosen to stretch my abilities to new heights(responsibility), and I have become more sensitive to others (awareness). Standardized alpha reliability coefficients were given on each scale: goals (.73), feedback (.81), self-efficacy (.81), rewards (.64), communication style (.84), interpersonal style (.88), responsibility (.77), and awareness (.70). Face validity of the instrument was checked by having executive coaches review the questions. No other validity information is available. The second portion of the survey gathered demographic information on the executive and coach as well as duration, frequency, and modality information regarding the coaching process.

The premise of Gegner's (1997) study was that as a result of executive coaching, executives would shift to a coaching style of management because they become more aware and take more responsibility for the actions in their organizations. The research questions were:

1. Do the components (goals, feedback, self-efficacy, rewards, communication style, interpersonal style, responsibility, and awareness) of executive coaching work collectively to enhance executive performance or are isolated components most effective?
2. Does executive coaching contribute to sustained behavioral change?
3. Do age, gender, and ethnicity affect the coaching process?
4. Do time, frequency, and modality affect the executive coaching process?

5. Does a gender difference between the executive and coach affect the coaching process?

A total of 146 executives received surveys and 48 (33%) returned them. Out of the 48 who returned surveys, 25 were interviewed. Demographically, 14 executives (29%) were female and 34 (71%) were male. Ages ranged from 21 to 66 years ($X = 44.5$). Forty-four executives (95%) were Caucasian, 1 (2.2%) was African-American, 1 (2.2%) was Asian, and 2 (4.2%) did not report their ethnic background. Thirty-seven executives (81.3%) participating in Gegner's study were still in the process of being coached, 9 (18.8%) had completed coaching, and 2 (4.2%) did not indicate their coaching status. The range of on-going coaching was 3 months to 3 years (mean = 1.20 years). The range for coaching that ended was 3 months to 2½ years (mean = 1.30). The range for coaching sessions was 30 minutes to two hours (mean = 1.29). Five executives did not answer the question regarding length of coaching sessions. Standard deviations were not provided for the above demographic information.

The mode for the frequency of coaching sessions was weekly (37.5%), with daily sessions at 2.1%, biweekly at 22.9%, and other (monthly and quarterly) frequencies at 37.5%. The mode for coaching modality was face-to-face (73.9%), with telephone coaching being performed 26.1% of the time. Two executives did not respond to the question concerning coaching modality. Demographic information on coaches was also provided. A total of 47 coaches participated. Seven coaches (15%) were female; 40 (85%) were male. Ages ranged from 35 to 55 years ($X = 48.3$). The author stated that all 47 coaches (100%) were Caucasian but also stated that one

coach did not respond to the question of race/ethnicity. It is unclear how 100% of coaches can be Caucasian when one coach did not identify race/ethnicity.

Regarding the results of Gegner (1997), awareness and responsibility were the dependent variables (outcome variables) measuring effectiveness. "Awareness pertains to new perceptions gained about self and others . . . and responsibility relates to choices regarding behaviors and actions . . ." (p. 39). Awareness had the strongest correlations with self-efficacy ($r = .55$) and communication style ($r = .45$); low correlations with interpersonal style ($r = .24$), rewards ($r = .35$), and feedback ($r = .31$); and little to no correlation with goals (-0.02). Responsibility had moderate to strong correlations with self-efficacy ($r = .74$), rewards ($r = .64$), feedback ($r = .52$), and communication style ($r = .51$) and low correlations with interpersonal style ($r = .43$) and goals ($r = .32$). Self-efficacy had the strongest correlations with both dependent variables, awareness ($r = .55$) and responsibility ($r = .74$). Responsibility had stronger associations than awareness with more components. Communication style had moderate associations with both awareness and responsibility, and feedback had moderate correlations with responsibility. Self-efficacy and communication style were the only two components of the executive coaching process that affected both dependent variables. Therefore, these findings may suggest that isolated components (self-efficacy and communication style) may be more effective components of the coaching process for enhancing executive performance (as determined by awareness and responsibility). However, without additional multivariate analyses such as a

regression, we cannot know for certain whether these variables alone or in combination are more effective components of the coaching process.

Question two, “Does the coaching process contribute to sustained behavior change?” was answered by combining the percentages of “highly effective” and “somewhat effective” statements for awareness and responsibility (dependent variables) as these statements were considered coaching “outcomes.” Percentages ranged from 70.9% to 93.8% and therefore suggested that coaching contributes to sustained behavior change as defined by Gegner. However, Gegner’s definition may not be the most appropriate measure of sustained behavior change, particularly because it is a self-rated measure of behavior change and not considered over time.

Question three, “Do gender, age, and ethnicity of executives affect the coaching process?” was analyzed using Pearson’s r coefficients to measure the strength of the associations between the demographic characteristics and the coaching components. Neither age nor gender had strong correlations (r ’s ranging from .023 to .225 for age and .001 to .139 for gender). Ethnicity could not be analyzed since 95.8% of the executives and 100% of the coaches were Caucasian.

Question four, “Does the duration, time, frequency, or modality influence the coaching process was also analyzed using Pearson’s r coefficients to determine the strength of the association between these variables and the coaching components. Duration had a negative relationship with awareness ($r = -.362$), weak associations with interpersonal style and rewards ($r = .204, .270$, respectively) and relatively no association with responsibility, communication, feedback, goals, and self-efficacy (.036, .080, .113,

.158, .069, respectively). The negative correlation was with awareness and may suggest that after a certain point in the coaching process, awareness decreases or ceases to increase. Correlations ranged from .068 to .285 for length of coaching and .007 to .219 for modality. The final question, "Does gender affect the coaching process?" was analyzed by cross tabulating the gender of the coach and gender of the executive. Reportedly, the gender of the executive could not be predicted by the gender of the coach and vice versa as measured by a phi coefficient (.008).

Gegner (1997) also conducted interviews with 25 of the executives, 7 (28%) of which reported seeking executive coaching services due to transitioning to new careers and wanting to excel in their businesses; 18 (72%) became involved in executive coaching through corporate programs. Twenty-one executives (84%) reported positive feelings about their involvement in coaching, 4 (16%) were skeptical to neutral about their involvement. Ten executives (40%) stated that no baseline was established prior to coaching, 7 (28%) said that 360 degree feedback data, interviews, or upward feedback data were used to establish a baseline, 6 (24%) said that goals were set as the baseline, and 2 (8%) reported that their personal values became the baseline. These later two means of establishing a baseline seemed less clear. Eight executives (32%) gave a percentage of performance improvement ranging from 10% to 100%, 40 (68%) did not provide a percentage of performance improvement. Eleven executives (44%) identified time as the greatest obstacle to coaching, 5 (20%) mentioned the corporate culture or environment, 6 (24%) stated that there were no obstacles, and 3 (12%) identified other people as the greatest obstacle. All 25

executives (100%) reported learning more about themselves or gaining new skills as the most valuable outcome, 9 (35%) reported improved interactions with others, and 4 (16%) identified the benefits of having an objective person (coach) gain support and feedback. All 25 executives (100%) said that coaching had positively impacted their personal lives by affecting their interactions with people, helping them establish balance in their lives, and/or helping them prioritize and make decisions about how they use their time. Regarding any additional information that clients wanted to provide, 17 executives (68%) mentioned the coaching process itself, 10 (40%) identified personality traits or skills possessed by the coach, and 6 (24%) made comments about the growth they attained, being more open to change, and possessing more self-confidence.

Gegner (1997) identified several limitations of her study. One, there was no reliability or validity information available on the instrument she used since it was designed for the study. Two, cause-and-effect relationships can not be drawn due to the cross-sectional design of the study and data being taken at one point in time for explanatory purposes. Three, coaches were an intermediary layer between the researcher and participants and therefore could have selected only certain types of executives to participate in the study. Four, other factors such as the Hawthorne effect could have accounted for improved performance levels. Finally, the survey is based on executives' perceptions of the executive coaching process and therefore is subjective. The author also noted that some executives may have been coaches as well, which could further bias the executives' perceptions. Additional limitations,

albeit minor ones, include not knowing how many coaches were contacted to participate and distribute survey materials to executives and how long it had been since nine of the executives had received executive coaching services.

The results from Gegner (1997) informed the present study in a number of ways. One, similar recruiting methods to gain coach participation were utilized, although they were much broader in the present study. Two, similar methods for distributing survey materials were used, specifically, by asking coaches to be the distributors. Three, selective demographic data were collected from coaches and clients in the present study in order to permit comparisons with Gegner's sample. Four, clients in the present study were asked similar questions as to those in Gegner, for example, how they became involved in executive coaching, what was most helpful about their experience, what was least helpful about their experience, and were their goals for coaching met?

The fifth study, conducted by Hall et al. (1999), consisted of interviews with 75 executives in six different Fortune 100 companies, 15 executive coaches referred by human resource (HR) personnel as leaders in the executive coaching field, and an unspecified number of HR personnel. The HR personnel were not mentioned as being interviewed in the method summary. However, they were mentioned in one part of the text.

Hall et al. (1999) were interested in the application of executive coaching, its effectiveness, and the lessons to be learned from providing services. The authors stated that understanding of interview data was also informed by the practical

experience of the authors as executive coaches. No further information concerning the methodology or analysis was provided in the article. Details concerning the nature of the sample were also quite limited. Thus, the results of this study should be regarded as tentative.

Results were presented in three areas: practice, effectiveness, and future directions. It was not always clear whether the information provided within each section was based on the results of the study or on the authors' theory/conceptualizations of executive coaching. Regarding practice, the authors reported that coaches could be either internal or external to the organizations and that the number of executive coaches is estimated to be in the ten thousands. Most of the seasoned coaches, however, come from psychology and the behavioral sciences and are either internal or external to the organization. External coaches were described as the most appropriate under conditions requiring extreme confidentiality, when the varied business experience of the coach is beneficial, or when "speak[ing] the unspeakable" is necessary (p. 40). Internal coaches were discussed as the most appropriate when possessing inside knowledge of company procedures and politics is helpful or necessary. Whether external or internal, however, coaches were described as providing feedback to executives that they had not received before. Feedback was tied to anything ranging from writing to interpersonal skills (Hall et al., 1999).

Regarding effectiveness, executives tended to stress that "good coaching is results oriented" (Hall et al., 1999, p. 43). They mentioned honesty, challenging feedback, and helpful suggestions as examples of good coaching. What they included

as unhelpful were coaches who pushed their own agenda, tried to sell more consulting time, and provided only negative feedback or feedback based largely on other people's feelings rather than on data and results. Executives rated the overall effectiveness of executive coaching "very satisfying" or a four, on a 5-point Likert scale. Coaches agreed with the executives on what constituted good coaching but tended to focus more on the relationship and the coaching process. Coaches usually viewed the process of addressing coaching objectives just as important as actually meeting them.

The study also examined potential differences due to gender and race. The authors reported that gender interacted with age such that some female coaches reported experiencing difficulty coaching older high level males, especially when providing negative feedback. They also identified multiple cultural issues that impacted coaching such as differences in eye contact, assertive communication, problem solving, and energy level. It was further reported that working with international executives sometimes required multicultural skill development. Lack of consideration of diversity issues such as age and race was identified as a limitation of current executive coaching practices.

Concerns about the future of executive coaching were categorized into three areas: managing the growth and demand for executive coaching, addressing ethical issues arising from the practice of executive coaching, and defining the scope and controlling costs. Hall et al. (1999) reported that most executive coaches have more requests for coaching than they can fulfill and many are questioning whether this will

continue or whether businesses will become more selective regarding who is offered coaching, particularly as businesses become more concerned with the cost. One strategy the authors suggested for controlling the demand was the use of internal coaches. This strategy, however, raises a potential ethical problem since it creates dual relationships. The authors further reported that executive coaches were concerned about the loss of control, confidentiality, and cost that may occur as a result of the increased demand by businesses. To help reduce these potential losses, they recommended that businesses establish clear guidelines for the use of executive coaching so that executive coaching is integrated into the overall development process of the organization. Doing so, they argued, would help provide for a steady demand.

The findings of Hall et al. (1999) also informed the present study regarding the typicality of the sample. The educational background of coaches, issues presented by clients, and satisfaction with executive coaching was assessed in the present study.

The sixth study was a dissertation completed by Laske (1999b). It utilized qualitative methods with the purpose of examining the developmental effects of executive coaching on an executive's professional agenda, with the specific focus of separating behavioral learning and ontic development. Because of the complicated nature of this study's topic, more space is devoted to it in this paper. Even so, only the main points are provided. Readers are referred to Laske (1999b) for further detail.

Laske (1999b) interviewed six executives identified by their coaches as experiencing developmental change because of coaching. The range of coaching was

6 months to 3 years. Each executive was interviewed twice. The first interview focused on the executives' current organizational position and functioning. The second interview, occurring 2 weeks later, focused on how executives view their world in terms of self/other object relations. Executive participation was confidential and executive participants had final say regarding the presentation of their findings. Coach participation was also confidential. Coaches provided information regarding their executive participants' life history, themes, corporate culture, and how the corporate culture informed the coaching agenda.

The first interview, called the "professional agenda interview" based on Basseches's dialectical schemata framework (as cited in Laske, 1999b), focused on the way executives envision their work and approach their tasks. The professional agenda interview also informed the second interview by providing Laske insight into the executive's developmental stage, which was under investigation in the second interview. The first interview consisted of two global questions and numerous follow-up questions. The first question asked executives what had significantly changed in the way they perform their organizational functions as a result of coaching. Follow-up questions then dealt with specific changes in performance. The second question asked executives what aspects of their professional self-image had most notably been transformed as a result of coaching, and how. Follow-up questions centered around specific changes in self-image.

The second interview was a *subject/object interview*, recognized by Lahey, Souvaine, Kegan, Goodman, and Felix (1988) and Kegan (1994) as an appropriate

method for assessing stage-level of adult (as cited in Laske, 1999b). This interview focused on how executives make sense of their work experiences in relationship to their ontic-developmental stage-level based on Kegan's theory of adult development (as cited in Laske, 1999b). The question guiding Laske in this interview was: how are executives' constructing their reality (personal and organizational) based on subject-object relations? The protocol for the subject/object interview included handing the executive 10 index cards with one of the following topics written on it: (1) angry, (2) anxious/nervous, (3) success/accomplishment, (4) strong stand/conviction, (5) sad, (6) torn, (7) moved/touched, (8) control, (9) change, and (10) important to me. The interviewer, in this case Laske, provided a brief explanation of the meaning of each of the 10 topics, gave the executive 5 minutes to think about the topics, and then asked the executive to write down memories of work experiences based on the topics of each card. Afterwards, the executive and Laske conversed, extensively, about the cards most salient to the executive. Three to 5 cards were discussed. Laske stated that not all cards needed to be discussed because there is an underlying assumption that engaging in this process thoroughly for 3 to 5 cards will reveal the developmental stage of the executive.

Regarding data analysis, Laske (1999b) stated that his purpose was to identify and link two sets of ontic-developmental scores. The first is a stage score, based on Kegan's developmental framework (as cited in Laske, 1999b). The second is a nonstage score, based on Basseches' (1984) dialectical-schemata framework (as cited in Laske, 1999b). Laske did this by analyzing the two sets of interview data, each

according to its corresponding methodology. Data from the first interview were evaluated in terms of executives' endorsement of Basseches's four categories: (1) motion, (2) form, (3) relationship, and (4) metaformal schemata, where motion deals with the person's ability to preserve fluidity of thought or consider change; form deals the person's ability to attend to and describe stable structures and configurations; relationship deals with the person's ability to attend to and consider the interactive nature of relationships with people and systems; and metaformal refers to the person's ability to integrate motion and relationship with form and therefore develop a capacity for systems thinking. Laske gave each of the four categories a weighting based on the strength of endorsements provided each category by executives.

The subject/object interview material was analyzed using Lahey et al.'s method (as cited in Laske, 1999b) which provides an overall stage score based on the number of times a particular stage (or manner of making meaning) is endorsed by the executive. Laske extended this procedure by calculating two additional scores, a "clarity" and "potential" index associated with the stage score. The clarity score representing the clarity with which the stage score is expressed by the executive and the potential score representing the potential of the executive for transcending to a higher stage. These two scores could be compared to determine the risk of an executive regressing to a lower developmental level as a result of being in an unhealthy organization or under duress. The result of the analysis and interview scoring was a combined ontic-developmental score including a level of self-awareness

(stage score) and capacity for systems thinking (process score) for each executive participant.

Laske (1999b) presented the results first by vignette where he provided a comprehensive profile of each executive's present professional performance and functioning (PPPF) and change story (CS), both based on the information coaches shared and the interview material. He also provided a combined ontic-developmental score. The findings of all six executives were then presented as a collective whole and the methodology that produced these findings was discussed. Laske referred to this methodology as the "Developmental Structure/Process Tool" (DSPTTM), developed as a result of his study. He provided further elaboration on the instrument, the ways in which it can be used, and the implications it has for aiding adult and executive development.

Regarding the results of his study and how well they answered the research question of whether changes that occur because of executive coaching are ontic-developmental (transformational) in nature, or solely behaviorally adaptive, Laske (1999b) stated that they do not completely. He stated that the question could not be fully answered because it did not (and methodologically could not) assume that developmental effects are dependent upon the developmental level of the client. Therefore, he proposed two alternative hypotheses: (1) in order to experience transformative (ontic-developmental) effects of coaching, one must be developmentally ready to experience them; and (2) coaching may have transformative (ontic-developmental) effect, but the developmental level of the coach must also be

such that it allows the coach to co-generate these effects in the coaching relationship. Based on these two hypotheses, Laske further proposed two meta-hypotheses: (1) “Hypotheses about transformative effects of coaching are primarily hypotheses about the ontic-developmental status of the coachee, which in the DSPT™ is expressed by an equivalence relationship between an individual’s structure assessment (stage score) and process assessment (metaform endorsement)” (p. 241), and (2) “Hypotheses about transformative effects of coaching are secondarily hypotheses about the ontic-developmental status of the coach, to the extent that such effects have been engendered in the coaching alliance” (p. 241).

Based on the above, Laske (1999b) summarized what he thought were the nine critical empirical findings of his work (pp. 242–244). In doing so, he focused on: (a) the extent to which stage scores and process scores matched, and (b) the gaps between executive’s cognitive focus in their present professional performance and functioning (motion) and in their change story (metaform).

Regarding the first point, Laske found that the capacity for systems thinking tended to rise with stage score and its associated clarity-potential index such that the higher the stage score, the higher the executive’s metaformal (transformational) understanding of organizational reality. Regarding the second point, Laske found a discrepancy between executives’ focus in their present professional performance and functioning (motion) and their change story (metaform) suggesting the need for constructive tools incorporating form and relationship foci so that executives could move toward a better understanding of dynamic systems. Second, changes reported

by executives did in fact seem to be of a metaformal/transformational nature versus a merely adaptive (behaviorally) one. However, a longitudinal study is necessary to provide proof of this finding. Third, executive reports of developmental transformation reflect their ontic-developmental stage more than the impact of coaching. Therefore, executive coaching will not be beneficial unless the executive is developmentally ready (measured by the clarity-potential index) for change. Fourth, there is a corresponding relationship between stage scores and process scores making it reasonable to assume “that the mental processes categorized in terms of dialectical-schemata analysis constitute the very processes that make attaining, maintaining, regressing from, and transcending, a particular ontic developmental level possible (Laske, 1999b, p. 243). This suggests that the historical methodological distinction, or presumption of unrelatedness, between “stage” and “nonstage” scores is no longer relevant as there appears to be a strong equivalence between them. Fifth, the process assessment is the best way to identify and map the ontic-developmental score of a person into a particular empirical domain because the processes (schemata) individuals employ for making meaning of the empirical world are more straightforward in their behavioral implications than ontic-developmental stage scores. Sixth, process and structure assessments alone are merely diagnostic, however, when combined they become prognostic because stage scores reflect a current developmental balance ready to transform to a following one. Seventh, “a cognitive disequilibrium between critical (motion, relationship) and constructive mental tools (form, metaform), as found in the sample of executives, is not so much a deficit, but

the very motor of development toward a higher ontic stage” (O. E. Laske, personal communication, June 18, 2001). Conversely, higher stages of development cannot be forced by coaching because the developmental level of the individual determines the effect coaching will have. Therefore, coaching will facilitate movement to higher developmental levels only to the extent that the executive’s stage and cognitive profile are conducive to this movement. Eighth, the current study provided a hypothesis about transformative effects of coaching; however, a longitudinal study using the same methods is necessary to provide sufficient evidence for the long-term transformative effects of coaching. Finally, because executives’ change stories depend on their ontic-developmental status, the assumed truths of the theory and practice of executive development, specifically those conceptualized in terms of behavioral opinions of executive coaching are placed in doubt (O. E. Laske, personal communication, June 18, 2001).

Since the focus of the current study is not on developmental change necessarily but instead leadership change, the results of Laske’s (1999) do not inform the present study. However, future research on leadership change which does consider the developmental level of the client and coach may prove beneficial.

The seventh study, conducted by Garman et al. (2000), was a content analysis of publications concerning executive coaching. The purpose of this study was to describe professional opinions concerning the practice of executive coaching and the perceived relevance of psychological training for such practice. The authors identified 72 articles on executive coaching published in mainstream and trade management

publications between 1991 and 1998. These articles were coded according to: (a) whether they were concerned with externally provided coaching; (b) whether they were generally favorable, unfavorable, or mixed in their evaluation of executive coaching; (c) whether psychologists were specifically mentioned as executive coaching service providers; (d) whether psychologists were regarded as a distinct service provider group; and (e) if regarded as a distinct group, whether psychologists were distinguished favorably, unfavorably, or neutrally. This coding scheme provides quantitative information concerning these dimensions, but does not provide qualitative understanding of the differences between, for example favorable and unfavorable articles. In addition, results must be regarded with some caution due to relatively moderate inter-rater reliabilities for some codes, as well as a lack of attention to the role of chance agreement in calculating these reliabilities.

Results from the Garman et al. (2000) study suggest that while executive coaching is generally viewed favorably, psychologists are not universally viewed as uniquely valuable service providers. Eighty-eight percent of the articles reviewed were coded as evaluating executive coaching favorably. In contrast, less than one third of the articles reviewed mentioned psychological training specifically, and only two thirds of those that did address it described psychologists as having unique executive coaching skills. In addition, only 45% of the articles distinguishing between psychologists and other executive coaching service providers described psychological training as an asset. An additional 36% of these articles described the unique skills of psychologists as potentially favorable or unfavorable, while the remaining 18% of

articles directly addressing psychologists described them as potentially harmful. Although not directly assessed in their coding scheme, Garman et al. (2000) suggest two possible sources for unfavorable perceptions of psychologists as executive coaches: some clinical psychologists are entering the field without appropriate retraining, and some consumers perceive that psychologists use extensive assessment in executive coaching simply to increase billable hours.

Link of Empirical Studies to Practice Articles

Six of the seven empirical studies (Garman et al., 2000; Gegner 1997; Hall et al., 1999; Judge & Cowell, 1997; Laske, 1999b; Olivero et al., 1997) provide support for some of the points discussed in the practice literature. The last study (Foster & Lendl, 1996) provides support for EMDR as an adjunct to executive coaching. Looking at the seven studies, the results of Olivero et al. (1997) support the idea that executive coaching benefits both the executive and the company. Executives experienced coaching as a positive endeavor and they gained increased satisfaction and productivity in their work. In Hall et al. (1999), executives reported being “very satisfied” with their coaching experiences as did the executives in Gegner (1997). Garman et al. (2000) further reported that professional publications concerning executive coaching practice were generally positive. And, the executives in Laske (1999b) were chosen because they had been identified as experiencing meaningful change as a result of coaching. The present study was designed to investigate whether

executive coaching benefits the client and client organization by impacting client leadership.

A second idea discussed in the practice literature and supported by the results of Olivero et al. (1997) is the increased learning that occurs with executive coaching. Many have identified the individually tailored nature of executive coaching as one of the main reasons for its success (Harris, 1999; O'Brien, 1997; Witherspoon & White, 1996a). In Olivero et al., knowledge increased at a higher rate after training and coaching than after training alone. One point to be considered is the fact that the coaches in this study were not professional coaches. Professional executive coaches tend to have more experience than that possessed by the participants providing the coaching in this study. In light of this, it seems likely that the results of executive coaching when practiced by professional and experienced coaches might be even greater.

A third idea discussed in the practice-based literature and supported by the results of Gegner (1997) and Laske (1999b) is the behavioral changes that occur as a result of executive coaching. All of the executives in both studies reported behavioral changes and Laske provided support for the hypothesis that the developmental level of the client and coach is imperative for effecting developmental change. The present study tests whether behavioral changes in leadership occur as well as a result of executive coaching.

The results from Judge and Cowell (1997) and Hall et al.(1999) support a fourth idea discussed in the practice literature regarding the educational background

of coaches. Judge and Cowell found a wide range of educational backgrounds. Coaches interviewed had undergraduate degrees ranging from drama to psychology, however, 90% also had master's degrees in either business or social science. These results support the concern expressed in the practice literature regarding the variety of professionals identifying themselves as coaches. Although Garman et al. (2000) focused specifically on examining whether or not psychological training was regarded as an asset in executive coaching, their findings provide further support for the need to standardize qualifications and practice. The fact that Garman et al. (2000) did not find that psychologists were universally recognized as uniquely valuable, challenges the idea proposed by Brotman et al. (1998) and others that psychologists are best qualified. At minimum, it challenges psychologists to make it more clear as to why they are uniquely valuable. The present study surveyed coaches to determine how they compared on educational background to coaches in Judge and Cowell and Hall et al.

A fifth idea supported by the empirical research concerns the methods used by the coaches surveyed. Similar to what was reported in the practice articles, coaches in Judge and Cowell (1997) employed a variety of approaches, ranging from behavioral to psychodynamic, yet, regardless of approach, included 360 degree assessments in their process. Finally, executive coaching was provided for both developmental and remedial purposes as suggested in the practice literature. One unexpected result from Judge and Cowell (1997) was the finding that many professionals other than executives (e.g., lawyers, doctors, and other professionals) seek executive coaching

services. Little is known about this group of recipients though Richard (1999) suggests that they be included as clientele for executive coaching services. If they are included, what would distinguish executive coaching from general business or other types of coaching? Client backgrounds, as well as coaching approaches, was assessed in the present study.

Conclusion

Regarding what has been written and what is known about executive coaching, the literature seems to provide some basis for understanding the definition, purpose, process, methodologies, clients, and service providers of executive coaching. The literature also provides some evidence that executive coaching is effective for increasing performance (Olivero et al., 1997), that isolated components of the executive coaching process (self-efficacy and communication style) are the most effective components of coaching for enhancing executive performance (Gegner, 1997), that executives view coaching favorably (Gegner, 1997; Olivero et al., 1997), and that executive coaching has the potential to facilitate developmental change (Laske, 1999). The present study adds to the knowledge of executive coaching outcomes by examining whether executive coaching impacts leadership, specifically whether it increases transformational and active transactional leadership and decreases passive leadership behavior as conceptualized by Bass (1985) since these forms of leadership together are considered one of the most effective forms of leadership (Gasper, 1992; Lowe et al., 1996). Transformational leadership is particularly ideal in

environments characterized by rapid change (Bass, 1985), which characterizes most organizations today. The present study will also measure outcome variables (see later sections of Chapter I) as conceptualized by Avolio and Bass (1991).

The previous section of this chapter provided a review of the executive coaching literature including the definition, history, and summaries of the practice-based literature and empirical research. This section also informally introduced the concept of leadership and transformational leadership as the most effective form of leadership. The subsequent sections of this chapter will focus specifically on leadership by formally introducing leadership, providing a review of Burns' (1978) and Bass's (1985) transformational leadership theory, reviewing Bass's (1985) model of transformational leadership and the empirical support for this model and discussing the development of transformational leadership and its empirical supports. After presenting the aforementioned information on transformational leadership, a brief discussion on how to measure leadership will be provided followed by a more detailed discussion of the purpose of this study.

Leadership

If measured in terms of written pages, leadership is one of the most considered issues in applied psychology (Hogan et al., 1994). In a recent review, Bass (1990) found over 7,000 books, articles, or presentations on the topic of leadership. With all of this information, one may easily become overwhelmed. However, there seem to be at least two areas of consensus that appear within some of the larger areas of

leadership literature. The first area involves one of the most effective forms of leadership, transformational leadership.

Until 15 years ago, leadership research focused on transactional leadership as the most effective form of leadership (Bass, 1998). However, with the introduction of transformational leadership the focus has shifted away from viewing transactional leadership as the most effective to viewing transformational leadership, as it augments transactional leadership as the most effective form of leadership (Bass, 1998). The effectiveness of transformational leadership has been empirically validated in three meta-analyses (Gasper, 1992; Lowe et al., 1996; Patterson, Fuller, Kester, & Stinger, 1995).

The second area of consensus in the leadership literature involves the most effective method for measuring leadership. Ideally, the most effective way is through actual subordinate performance. However, since these data are often difficult to obtain and usually contaminated by external factors, the best alternative method is through direct-report, supervisor, and peer evaluations of leadership performance (Hogan et al., 1997). A further elaboration of these two areas will be provided in the following sections of this chapter.

Transformational Leadership

The body of literature on transformational leadership is vast. However, most of the literature stems from Burns' (1978) conceptualization of transformational leadership and can be divided into articles based on Bass's (1985) elaboration of

Burns' ideas (e.g., Bass, 1985, 1990a, 1990b, 1996, 1997, 1998; Bass & Avolio, 1989, 1990, 1993; Bass, Avolio, & Goodheim, 1987; Bass, Waldman, Avolio, & Bebb, 1987; Bass & Yammarino, 1991; Gasper, 1992; Hater & Bass, 1988; Lowe et al., 1996; Patterson et al., 1995) or those based on others' elaborations or conceptualizations of similar ideas of leadership (e.g., Bennis & Nanus, 1997; Conger & Kanungo, 1988; House, 1977; Sashkin, 1998; Schein, 1992). Since Bass and his colleagues are recognized as the primary investigators of transformational leadership (Gasper, 1992), and since their conceptualization of transformational leadership is being tested in this study, this review focuses on their work to the exclusion of others.

Transformational leadership was first conceptualized by Burns (1978) and resulted in the evolution of a new paradigm of leadership (Gasper, 1992). This new paradigm became known as the transformational-transactional paradigm of leadership (Bass, 1985) and more recently as the Full-Range of Leadership Model proposed by Bass and his colleagues (Avolio & Bass, 1991). Prior to the introduction of this paradigm, most leadership research focused on the transactional exchange, meaning the exchange of performance for pay (Bass, 1997; Sashkin & Burke, 1990); however, since the introduction of transformational leadership, leadership research has taken on a different focus (Bass, 1998). This new focus has led to the realization that transformational leadership augments transactional leadership and has supported the transformational-transactional paradigm of leadership as one of the most effective forms of leadership (Bass, 1985). These findings have been supported by three recent

meta-analyses of transformational leadership (Gasper, 1992; Lowe et al., 1996; Patterson et al., 1995).

Burns' Transformational and Transactional Leadership Theory

In Burns' (1978) view, "Leadership over human beings is exercised when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological, and other resources so as to arouse, engage, and satisfy the motives of followers" (p. 18). What he meant by this statement was that leaders, with their own goals and motives, tap the motives and goals of their followers with the purpose of fulfilling both. He believed that leaders did this through two fundamentally different forms of leadership: transactional and transformational.

Burns (1978) defined transactional leadership as the exchange of valued things such as jobs for votes or campaign contributions. According to Burns, who was a political scientist, this form of leadership was more prevalent in groups, legislature, and government than any other form of leadership. Since Burns' work, Gasper (1992) in a meta-analysis of transformational leadership, actually found transformational leadership to be more prevalent than transactional in government, as well as in business and industry.

According to Burns, transactional leadership occurs when the leader and follower each have separate but related purposes. They are related in so much as they both can be advanced by the exchange. For example, a senator seeking reelection

wants campaign funding while the local business owner wants to ensure the growth of his business. The candidate promises to protect small businesses in exchange for a campaign contribution. In the transactional exchange both purposes are related and can be advanced by the exchange. Once the exchange is over, however, the interactions of the two parties cease, they have no enduring bond that holds them together.

Transformational leadership, on the other hand, is quite different because the exchange is more than a mere transaction, an enduring bond is formed. According to Burns, this form of leadership occurs when “one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and [ethics]” (p. 20). Unlike transactional leadership, where the purposes remain separate but related, transformational leadership produces purposes that become fused. This fusion occurs because the leader elevates the follower’s needs on Maslow’s (1954) hierarchy of needs. For example, a follower’s need for income is elevated to a need for self-actualization. Hence, the follower’s needs and the leader’s needs become similar and fused. An elevation in performance and aspiration for both leader and follower occurs because they are working toward the same goal. Thus, the transformation occurs on both sides of the relationship. Burns discussed Mahatma Ghandi, as a transformational leader who “aroused and elevated the hopes and demands of millions of Indians and whose life and personality were enhanced in the process” (Burns, 1978, p. 20).

Bass's Transformational and Transactional Leadership Theory

Bass and his colleagues have written extensively on transformational leadership (e.g., Avolio & Bass, 1991; Bass, 1985, 1990a, 1990b, 1996, 1997, 1998; Bass & Avolio, 1989, 1990, 1993, 1994; Bass, Waldman, et al., 1987; Bass & Yammarino, 1990; Yammarino & Bass, 1990) and tend to be considered the primary investigators of transformational leadership theory and research (Gasper, 1992).

In 1985, Bass extended Burns' (1978) conceptualization of transactional and transformational leadership, based primarily on political leaders, to supervisory-subordinate relationships. With this in mind, he defined transactional leadership as leadership which (a) recognizes what subordinates want from their work and aims to deliver this for satisfactory work performance, (b) exchanges rewards for work effort, and (c) addresses subordinates' needs to the extent that doing so does not interfere with their performance. Bass's view of transactional leadership was broader than Burns's because he included the clarification of performance for reward exchange as part of the process. For example, in Bass's view, the employer would clarify what had to be done and how it could best be accomplished.

Transformational leadership, on the other hand, was defined by Bass as leadership which (a) increases subordinates' awareness of the importance and value of task outcomes, (b) induces subordinates to transcend their self-interests for the good of the larger group or organization, and (c) stimulates subordinates' higher-order needs. Bass (1985) acknowledged that much of what he proposed about transformational leadership was similar to Burns; however, he identified three

important distinctions. The first distinction dealt with Bass's inclusion of the expansion of needs versus only the altering of needs. Burns believed that a follower's needs, on Maslow's (1954) hierarchy had to be elevated whereas Bass believed that they could be expanded on the same hierarchical level or even shifted downward. For example, a leader could expand a follower's safety needs to include a variable he/she had not before considered. Or, a leader could cause a follower's need for self-actualization to succumb to a lower level need, such as safety. For Bass, an elevation in needs was not necessary so long as a change occurred. The second distinction has to do with Bass's focus on observed change, good or bad, as being transformational whereas Burns' only considered positive change. For example, Bass considered Hitler a transformational leader whereas Burns did not. (Bass later came to agree with Burns on this point however). Third, and lastly, Bass viewed transactional and transformational leadership as distinct but not mutually exclusive. He believed both leadership styles were appropriate and often used by the same leader, though he contended that leaders who used more transformational leadership were more effective. Burns (1978), on the other hand, believed leaders were either transformational or transactional.

Bass (1985) developed his model of transformational leadership by first testing the concept of transformational leadership with 70 male industrial executives as part of a pilot study. In an open-ended survey he provided them with a description of transformational leadership, based on Burns' (1978) conceptualization, and then

asked them to describe any person whom they had encountered who fit all or part of this description. (The description of transformational leadership given was:

someone who raised their awareness about issues of consequence, shifted them to higher-level needs, and influenced them to transcend their own self-interests for the good of the group or organization and to work harder than they originally had expected they would. (p. 29)

Every respondent identified at least one person who fit the description and in aggregate viewed the leaders as someone who got them to work incredible hours and do more than they expected. Other responses included:

the desire to emulate the leader, increased awareness, higher quality of performance, greater motivation, readiness to extend oneself and to develop oneself further, total commitment, belief in the organization as a consequence of belief in the leader, and heightened self-confidence. (pp. 29–30)

Building from the qualitative results of the pilot study, Bass (1985) proceeded to quantitatively analyze what was involved in being a transactional and transformational leader. He was interested in identifying specific transformational and transactional leadership behaviors. This desire to identify behaviors led to the development of his Multifactor Leadership Questionnaire (MLQ), an instrument that measures both transformational and transactional leadership. The MLQ was developed by taking the open-ended responses of the 70 executives from the pilot study and descriptions of transformational and transactional leadership proposed in the literature. From these responses, 143 statements were composed that described transformational and transactional leadership behaviors and attitudes. These statements were then given to 11 master's of business administration and social science graduate students. After reading the definitions of and distinctions between

transformational and transactional leadership, the students sorted each response into one of three categories, transformational, transactional or "can't tell." From these ratings, 73 items were selected for inclusion on the MLQ. Items were included if 8 and 9 of the 11 graduate students' rated the behaviors as transformational or transactional, respectively. The MLQ was then administered to 104 U.S. Army personnel who were asked to describe their immediate, current supervisor and rate the frequency at which this individual displayed the 73 behaviors or attitudes. The goal was then to separate the responses into two scales, transformational and transactional. Factor analyses determined the basic factorial structure of transformational and transactional leadership. Through this process, Bass (1985) came up with the three transformational factors: charisma/inspirational leadership, intellectual stimulation, and individual consideration, and the two transactional factors: contingent reinforcement and management-by-exception that defined his model. (A more thorough review of the MLQ construction will be provided in Chapter II).

Charisma/Inspirational Leadership

According to Bass (1985), charisma plays a key role in transformational leadership. The fact that followers come to trust, admire, respect, and ultimately do more work for the leader is the direct result of charisma. Charismatic leaders tend to be viewed as role models by their followers and followers want to emulate their leaders. Followers often believe their leaders have extraordinary abilities and determination. Charismatic leaders arouse the needs for achievement, affiliation, and

power in followers as these needs are linked to the overall goals of the organization. They influence followers to transcend their self-interests for the interests of the group. Also, embedded in charisma is the subfactor inspirational leadership. Inspirational leadership provides meaning and challenge to followers' work. Leaders inspire followers by arousing team spirit and getting them focused on envisioning future goals of the organization. This ability to envision future goals of the organization is especially key for organizations facing constant change (Bass, 1998), which is characteristic of many organizations today.

Intellectual Stimulation

Bass (1985) defined transformational leaders as being able to intellectually stimulate creativity in their followers. They establish environments that are open to innovative approaches and they encourage followers to contribute their ideas. Leaders challenge their followers by questioning assumptions and re-framing problems. They want followers to be a part of the problem solving process and they welcome new ideas. No one is criticized for ideas that differ from the leaders. These things seem related to interpersonal skills and leadership style, the ability to engage and challenge followers, which executive coaching helps executives/leaders do.

Individual Consideration

Individualized consideration occurs by giving special attention to each follower's need for achievement and growth (Bass, 1985) by being a coach and

mentor to each subordinate. What better way of learning how to fulfill this role than through being coached? In order to be a good coach, the leader needs to know what motivates each of his/her followers, how much information each requires before completing a new task, and how much structure they want. It is about developing followers to higher levels of potential by having direct contact with followers. Leaders who demonstrate individual consideration encourage two-way communication and listen effectively to what their followers say. They are visible and they monitor without hovering or micromanaging. Again, these abilities fall under interpersonal skills and leadership, which are often the target of executive coaching and which are often modeled through the coaching being provided to the executive/leader. The executive/leader can then coach his or her direct-reports. This factor of transformational leadership seems particularly relevant to executive coaching and was the premise of Gegner's (1997) research.

Contingent Reward

Contingent reward is a factor of transactional leadership and refers to the actual exchange of rewards for work. The leader identifies what needs to be done and agrees to provide the reward for its satisfactory completion. Followers know that if they provide the work, they will get the reward, e.g., pay. Leaders also clarify what needs to be done and how best to accomplish the task (Bass, 1985). This later explanation of contingent reward seems more relevant to executive coaching, or may be more likely affected by executive coaching.

Management-by-Exception

Management by exception can either be active or passive. When active, the leader monitors performance for deviations, errors, and mistakes and then takes necessary action to correct the problem. When passive, the leader waits to be informed of such errors and then takes action. The passive approach is more reactionary than the active approach. It seems likely that executive coaching would increase active management by exception and decrease passive management-by-exception.

Full Range of Leadership Model

The Full Range of Leadership Model (Bass & Avolio, 1991) is an extension of the transformational-transactional leadership model proposed by Bass (1985). The model includes the three transformational and two transactional leadership factors and adds one additional factor, laissez-faire leadership, which is the avoidance or absence of leadership. Laissez-faire was added to account for the absence of leadership that sometimes occurs. The Full-Range of leadership model states that every leader displays all six types of leadership: charismatic/inspirational, individualized consideration, intellectual stimulation, contingent reward, management-by-exception, and laissez-faire to varying degrees. However, the model proposes that the most effective leaders display more charismatic/inspirational leadership than individualized consideration, more individualized consideration than intellectual stimulation, more individual stimulation than contingent reward, more contingent reward than

management-by-exception, and more management-by-exception than laissez-faire. This hierarchical relationship among leadership styles and effectiveness has been supported by a number of meta-analyses (e.g., Gasper, 1992; Lowe et al., 1996; Patterson et al., 1995), which will be reviewed next.

Meta-Analyses

There are three meta-analyses that support the effectiveness of transformational leadership (Gasper, 1992; Lowe et al., 1996; Patterson et al., 1995). Lowe et al. (1996) completed a meta-analysis on the transformational leadership literature that used the Multifactor Leadership Questionnaire (MLQ) with the purposes of (a) integrating the findings, (b) computing an average effect for the various scales, and (c) probing for moderators of the leadership style-effectiveness relationship. Gasper (1992), also completed a meta-analysis of the literature using the MLQ to determine whether: (a) transformational leadership occurs more frequently than transactional leadership, (b) subordinates prefer transformational leadership over transactional, (c) subordinates view transformational leaders as more effective, (d) subordinates are more satisfied with transformational leaders, and (e) transformational leadership promotes a more positive organizational culture. The third meta-analysis, by Patterson et al. (1995), was a conference paper presentation that corroborated the findings of the first two analyses on follower compliance (Bass, 1998). This analysis was not available for review and therefore only the first two analyses are reviewed.

Lowe et al. (1996) conducted a meta-analysis of the existing transformational leadership literature using the MLQ to (a) integrate the findings, (b) compute an average effect size for the different leadership styles, and (c) probe for different moderating variables of leadership style-effectiveness. Hypotheses tested, based on previous theory and research, involved leadership behavior, effectiveness of leadership behavior, and the extent that leadership behavior and effectiveness were moderated by type of organization, level of leader, and type of criterion used to measure effectiveness. Meta-analytic techniques including selection, coding, analysis and procedures were based on Hunter and Schmidt (1990). Overall results indicated that transformational leadership is more effective than transactional. Results also revealed that the type of organization, level of leader, and type of criterion used to measure effectiveness moderated the results.

Empirical studies were included in the analysis based on five criteria. The studies had to (1) use subordinate evaluations of leadership style on the MLQ, (2) report a measure (subordinate or organizational) of leader effectiveness, (3) indicate a sample size, (4) report a correlation coefficient or a test statistic that could be converted into a correlation between leadership style and effectiveness, and (5) use the actual direct leaders of subordinates versus hypothetical leaders. A total of 39 (out of 75) studies met the five criteria for inclusion.

After studies were reviewed for inclusion, meta-analysis procedures were conducted on all studies. Twenty-three studies reported reliability data for charisma and intellectual stimulation, 22 studies for individual consideration and contingent

reward, and 21 studies for management-by-exception. Credibility and confidence intervals were used to determine the extent to which moderators may influence the meta-analytic estimates of mean effect size and to determine the extent that the meta-analyses techniques used to estimate the mean effect sizes were accurate and significant. Credibility intervals determine the generalizability of validity findings and detect the likelihood of moderating variables. If moderating variables are likely, credibility intervals suggest that studies be divided into subgroups which is done if the credibility interval includes zero.

The overall results of Lowe et al. (1996) indicated that four of the five MLQ scales—charisma/inspirational leadership, intellectual stimulation, individual consideration, and contingent reward—displayed sufficient internal consistency reliability; management-by-exception was below the recommended value of .70. The transformational scale means of charisma (2.52), individualized consideration (2.50), and intellectual stimulation (2.48) were found to be higher than the means of the transactional scales of contingent reward (1.83) and management-by-exception (2.32) indicating the higher prevalence of transformational behaviors across all studies. The transformational scales had higher coefficients for the association between leadership style and effectiveness (.71, .61, .60, respectively) than the transactional scales (.41, .05, respectively), with charisma correlating most highly with leader effectiveness for all types of effectiveness criteria and management-by-exception demonstrating the lowest correlation. These results support the use of transformational leadership in the

present study as one of the most effective forms of leadership when looking at executive coaching outcomes.

In Lowe et al. (1996), all five scales of the MLQ showed a substantial range of correlations across all studies. Credibility intervals suggested the need to further differentiate studies based on type of organization, level of leader, and type of criterion used for evaluation. Thus, five hypotheses were tested regarding leader behavior, the effectiveness of leader behavior, and how leader behavior and effectiveness were influenced by type of organization (public vs. private), level of leader (high vs. low) within organizations, and type of criterion used to measure effectiveness (subordinate vs. organizational). The five hypotheses were:

- 1. Transformational leadership occurs more in private organizations than public organizations.**
- 2. The relationship between effectiveness and leadership style is moderated by the type of organization with the predicted outcome being that the relationship between transformational leadership behavior and effectiveness will be stronger in private organizations than in public organizations.**
- 3. Transformational leadership occurs more frequently at higher levels of management than at lower levels of management.**
- 4. The relationship between effectiveness and leadership style is moderated by the level of the leader in the organization with the predicted outcome being that the relationship between transformational leadership and effectiveness would be stronger for higher level leaders than lower level leaders.**

5. The relationship between the five leadership scales (transformational and transactional) would be moderated by the type of criterion used to measure effectiveness with the predicted outcome being that the relationship between leadership style and effectiveness will be stronger for subordinate measures of effectiveness versus organizational measures.

Hypotheses 1, 3, and 4 were not supported. Hypotheses 1 and 3 actually produced the direct opposite effects from what was expected. The results of Hypothesis 1 indicated that transformational leadership behaviors were more frequently observed in public organizations on all three transformational scales ($p < .01$). There was no difference in contingent reward leadership behavior across organizations but subordinates perceived more frequent management-by-exception from public organization leaders than private organization leaders ($p < .001$). The results for Hypothesis 3 revealed that low level leaders were higher on all three transformational scores than high level leaders ($p < .01$). There was no difference in contingent reward behaviors, but again there was in management-by-exception with low level leaders exhibiting more than high level leaders. Hypothesis 4 was also not supported; when it came to the relationships between leadership style and effectiveness, no significant differences were found by level of leader (Lowe et al., 1996).

Hypothesis 2 was partially supported in that there were significant mean effect size differences between public and private organizations for the scales charisma ($p < .05$), intellectual stimulation ($p < .01$) and management-by-exception ($p < .01$);

however, significantly higher positive relationships were found in public as opposed to private organizations for each of the three scales.

Finally, Hypothesis 5 was supported. There were significant differences between subordinate measures of effectiveness and organizational measures of effectiveness ($p < .001$). Subordinate measurements of leader effectiveness were significantly higher than organizational measures. However, the authors noted that regardless of criterion (subordinate vs. organization) there was a significant positive relationship across studies for all three transformational scales ($p < .01$). Therefore, subordinates and organizations alike rated transformational leader behavior as more effective than transactional. They also noted that even though some of their predictions were not supported, “[a]ll hypotheses tested show[ed] higher associations between transformational leadership scales and effectiveness than between transactional scales and effectiveness” (p. 412).

Lowe et al. (1996) noted the interesting and counter-intuitive findings from their analysis: one, that transformational leadership behavior was demonstrated more by low-level leaders than high-level leaders, and two, that leaders in public organizations were more transformational than leaders in private organizations. The authors note several possible explanations but suggest that the most plausible explanation may be that low level and public organization leaders exhibit higher levels of transformational leadership. They state that “leadership at the top and in private organizations may not have utilized the opportunity to elevate the performance of their subordinates using transformational leadership” (p. 418). This statement

supports a need for training and development among high level leaders. Additional explanations for these findings, not mentioned by the authors, may be that low level leaders are relatively new leaders and may be more informed on new leadership styles and/or they may be more able to devote time to managing as their primary responsibility.

The results of Lowe et al. (1996) further revealed that the type of criterion, subordinate versus organizational, is a powerful moderator between leadership style as measured by the MLQ scales and leader effectiveness. Subordinates tended to produce higher ratings than organizational measures. The authors explain this difference by stating that mono-method bias can inflate the relationship between behaviors and effectiveness and that organizational measures can be too narrow and therefore restrictive. Their suggestion then is that the “true” relationship lies somewhere in between. They also add that though the “true” relationship is of interest, the critical finding is that a “consistent relationship exists between transformational ratings and effectiveness regardless of criterion type, while a similar claim cannot be made for the transactional scales” (p. 419). In the present study, this issue is not a concern since any inflation of scores would be expected to occur across both groups. Also, multiple methods are being employed. Clients, direct-reports, peers, and some supervisors all measure transformational and transactional leadership behavior.

Lowe et al. (1996) do note several limitations of their analysis. The first dealt with the inclusion of unpublished studies, which may report smaller effect sizes. Even

though the authors included unpublished studies, they dismiss this issue as irrelevant for the purposes of their study due to the magnitude of effect sizes and substantial number of studies included. The second limitation dealt with the criterion used for inclusion in the study. The authors note that to the extent the criterion used created a nonrepresentative sample of the population of studies, the results are biased. However, they argue that studies including an effectiveness measure are more rigorous and therefore may more accurately estimate the true population parameters. The third and greatest limitation identified by the researchers has to do with the use of a single measure of the constructs, the MLQ, and therefore results are limited to the extent that the MLQ accurately measures transformational and transactional leadership. Two additional limitations were also addressed, the large sample size which could produce statistical significance at the expense of practical significance and the limited moderators chosen in this study.

Though each of these limitations should be considered when interpreting the results, the strengths of the relationships found in different types of organizations, at different levels of the leader, and utilizing different operationalizations of the criterion variable provide compelling evidence for the transformational construct. (p. 414)

Gasper (1992) also conducted a meta-analysis of research on transformational leadership using the MLQ to determine whether: (a) transformational leadership behavior occurs more frequently than transactional leadership behavior, (b) subordinates prefer transformational leadership over transactional leadership, (c) subordinates view transformational leaders as more effective, (d) subordinates are more satisfied with transformational leaders, and (e) transformational leadership

promotes a more positive organizational culture. An integrative literature review technique based on thorough literature search, rigorous coding scheme, meta-analytic techniques and data analysis was employed. Results indicated that transformational leadership (a) occurs more frequently and is preferred over transactional leadership, (b) is associated with higher levels of perceived effectiveness, and (c) results in increased follower satisfaction with the leader and a willingness to put forth extra effort.

There were two criteria for determining which articles would be included in Gasper's (1992) study: whether the literature addressed transformational leadership as defined by Bass (1985) or Burns (1978), and whether the literature was published subsequent to 1978 which was when the concept of transformational leadership was introduced. Quantitative and qualitative studies were both included in the analysis. The author stated that quantitative data could be regarded as either nonsynthesizable or synthesizable; however, the distinction between these two ideas was unclear. The information provided stated that nonsynthesizable studies tested the relationship between transformational and transactional leadership and at least one additional construct of organizational behavior. Data points were relevant but not synthesizable. Synthesizable studies tested actual or preferred transformational leadership, or the relationship between transformational and transactional leadership and leader effectiveness, subordinate satisfaction, or subordinate willingness to put forth extra effort. Data points were relevant and synthesizable. Qualitative studies were reviewed to enhance the understanding of the transformational leadership construct. They were

included if they provided a systematic examination of transformational leadership through qualitative methods.

A total of 591 articles were reviewed and 36 studies included. After studies were reviewed for inclusion, meta-analytic techniques employing calculation of effect sizes and analysis of variances were conducted on the quantitative studies. Twenty-four of the studies provided synthesizable data points and reported 29 hypothesis tests. Twelve studies provided nonsynthesizable data points. Descriptive data from the 7 qualitative case studies were used to enrich the understanding of the quantitative data. The characteristics of the studies included are as follows: mean year of publication was 1988; average number of subjects per study was 211 (most being men); 8 studies included police or military leaders; 22 included business, industry, education, or clergy leaders; 23 were conducted in the United States, 5 in New Zealand, and 1 in Taiwan.

The overall results of the meta-analysis indicated support for all five hypotheses. Transformational leadership behavior occurred at a higher frequency than transactional leadership behavior ($d = 0.081, p < .001$) and was preferred over transactional leadership ($d = 1.66, p < .001$). Correlations between effectiveness and leadership style and satisfaction and leadership style as measured by subordinates yielded the following results. Subordinates perceived transformational leaders as being more effective than transactional leaders ($r = 0.64$ vs. $r = 0.27$), were more satisfied with transformational leaders than transactional leaders ($r = 0.61$ vs. $r = 0.22$), and were willing to put forth extra effort for transformational leaders than

transactional leaders ($r = 0.71$ vs. $r = 0.31$). Results from post-hoc analyses, investigating two moderating variables, country (U.S. and non-U.S.) and type of organization (military vs. nonmilitary) suggested the possibility that moderating variables exist; however, further analysis was necessary in order to determine this more fully. How each variable affected the results was unclear.

Before determining the meaning of this integrative literature review, the author noted a number of limitations in the study including the fact that two sets of hypotheses tested (preferred leadership and extra effort) included less than 10 studies; therefore, the effect size estimators should be considered with caution. In addition, even though the number of subjects in the meta-analysis was large and varied and studies were conducted in a variety of settings, the generalizability of findings remains limited since they were associational in nature. Third, since most of the studies used survey methods, a potential threat to the validity of this study exists based on the sampling techniques used in the various studies. Also, since primarily subordinates filled out surveys, a halo affect could have occurred. Subordinates may have wanted to portray their leaders in more favorable light (Gasper, 1992) which should not be an issue in the present study because if a halo effect was to occur it would be expected to occur across both groups. Further, peers and supervisors are also raters in the present study. Another issue deals with the variance that may result from more than one construct being measured by the same rater, for example, transactional and transformational leadership. Furthermore, response rates of studies were sometimes low; therefore, selection threats to the validity of the results need to be considered.

Finally, different versions of the MLQ may have been used in the various studies therefore there may not have been instrumentation consistency. The author states that this inconsistency may detract from the overall validity of the findings.

Summary of Meta-Analyses

The most relevant finding of the meta-analyses to the present study is the support for the notion that transformational leadership is more effective than transactional leadership (Gasper, 1992; Lowe et al., 1996). Both analyses, Lowe et al. more specifically than Gasper, generally support the Full-Range of Leadership Model which states that Charisma/Inspirational leadership is more effective than Intellectual Stimulation, which is more effective than Individual Consideration, which is more effective than Contingent Reward, which is more effective than Management-by-Exception, which is more effective than Laissez-faire. These findings support the use of transformational leadership as one of the most effective forms of leadership. Findings from Lowe et al. support the need for the development of transformational leadership among high level leaders. The goal of the present study is to determine whether or not executive coaching meets this need. First, however, it seems necessary to review how transformational leadership is developed according to Bass.

Developing Transformational Leadership

Bass (1998) states that transformational leadership can be developed in others by focusing not only on skill development but by promoting self-awareness. He states

that an appreciation for both transformational leadership and transactional leadership behavior needs to be internalized, with the recognition that more effective leaders tend to be more transformational. He states that transformational leadership can be developed either through counseling and guidance or through a training workshop based on the Full-Range of leadership Model. A review of these two approaches will be provided next.

Methods of Training and Developing Transformational Leadership

Bass (1998) proposes two methods for developing transformational leadership based on the Full-Range of Leadership Model, a formal workshop and individual counseling/guidance. The overall goal of these approaches is to increase transformational leadership and positive transactional leadership. The formal workshop consists of two parts, a basic training and an advanced training, with a 3-month interval in between. The basic training is comprised of eight modules. The first modules help provide participants with a comprehensive understanding of transformational leadership by reviewing the three components of transformational leadership, Charisma/ Inspirational Motivation, Individual Stimulation, and Individualized Consideration; the two components of transactional leadership, Contingent Reward and Management-by-Exception, both passive and active; and Laissez-faire leadership. Later modules are geared towards participant's understanding of themselves as transformational leaders. Self-understanding is facilitated by the use of the MLQ. Participants rate themselves on the MLQ as do

their peers, subordinates, and supervisors. Feedback on the results is then given and a developmental plan is designed to help the participant increase their transformational and positive transactional leadership behaviors. This process parallels the 360 degree assessment process conducted in executive coaching.

The advanced training occurs after a 3-month time interval. Here, the participants focus on using transformational leadership behaviors to solve actual work problems encountered by the participants during the 3-month interval. A review and analysis of their current developmental plan is conducted and changes are made as necessary. During this part of the workshop, participants are encouraged to consider their workplace environments as they impact their ability to be transformational. Lastly, participants are helped to create a vision for their organization. After the training is complete, an optional follow-up training, 6–12 months after the advanced training, is also offered. During this training, new MLQ feedback is provided and reviewed, a discussion of successes and failures occurs along with revisions, as needed, of individual developmental plans.

The second method of developing transformational leadership is counseling or guidance. Counseling entails the use of the MLQ to provide leaders with feedback on their leadership behavior and to help them create a development plan to enhance their transformational leadership abilities. This method is similar to the first training method and again similar to the executive coaching process. In the counseling/guidance approach, the MLQ is administered to the leader and his/her subordinates, peers, and supervisors. The counselor then interprets the results. As part of the interpretation,

comparisons will be made between the individual's results and results of other leaders; comparisons will also be made between how the individual viewed him/herself as a leader and how subordinates, peers, and supervisors evaluated the leader. Large discrepancies in these perspectives provide a basis for the developmental plan. Included in the plan may be workshops, one-on-one counseling, or training assignments. The overall goal is to increase transformational leadership and active transactional leadership behavior. Follow-up is embedded in the plan and often includes the re-administration of the MLQ and additional feedback.

Three studies have tested the effectiveness of transformational leadership training (see Barling, Weber, & Kelloway, 1996; Bass & Avolio, 1994b; Crookall, 1989). The first study investigated the relationship between leadership training and subordinate productivity and personal growth in a prison setting. The second study was conducted on the Full-Range of Leadership Training Workshop developed by Avolio and Bass (1994) and third study investigated the effects of transformational leadership training on attitudinal and financial outcomes (Barling et al., 1996). The next section of this chapter will provide a review of these three studies.

Empirical Support

Crookall (1989) conducted an action-oriented evaluative study of leadership in a prison setting to determine the relation between leadership training and subordinate productivity and personal growth. Three of four hypotheses were directly relevant to the present study: (1) whether leadership training (Situational [SL] or

Transformational [TFL]) conducted with leaders resulted in increased productivity and personal growth in subordinates, (2) whether training in transformational leadership was associated with greater increases in subordinate personal growth than training in situational leadership, and (3) whether leaders trained in situational leadership were more likely to accept and apply the training than are those trained in transformational leadership. The hypothesis irrelevant for this study tested specific components of the SL training model.

In the Crookall (1989) study, transformational leadership was consistent with Burns' (1978) and Bass's (1985) conceptualizations. A review of situational leadership goes beyond the scope of this chapter however a basic definition or description seems appropriate. Situational leadership, in simplified terms, refers to leadership that recognizes the "leader's responsibility to attempt to improve the maturity of subordinates, to gradually develop subordinates, to create mutual trust and respect, and to adjust leader behavior to suit the subordinate" (Crookall, 1989, p. 5).

Sixty correctional staff foremen, from six penitentiaries in two geographic regions, who supervised inmates in prison industrial workshops, and their 350 inmates participated in the study. Twenty foremen from the northern region were assigned to the situational leadership-training group and received 3 days of situational leadership training. Twenty foremen from the southern region were assigned to the transformational leadership-training group and received 3 days of transformational leadership training. Twenty individuals were assigned to the control group.

Assignment to the two experimental groups occurred by region and not by random assignment. Assignments were made by foreman managers who ensured the group was representative based on the range of employees (good, average, difficult) and type of shop (maintenance and production, assembly line and customized).

Assignments were made in the above way due to the increased costs of having both a situational and transformational leadership-training program in each region and the possibility that training programs and leadership styles would blend when foreman and inmates worked together in the same region. Differences between regions were considered minor due to the national regulations and procedures for correctional facilities across regions. Random assignment was used for the 20 foremen assigned from both regions to the control group. The authors noted no differences in participants across regions. The control group received no training. Leaders in the fields of situational and transformational leadership conducted the training in the experimental groups.

In Crookall (1989), the two experimental groups were comprised of production-oriented industrial shops, while the control group was comprised of maintenance, repair, and small construction shops. These compositions occurred in part so that the control group came from the same institutions, to satisfy the request of the institutions to have the experimental groups be comprised of industrial shops since they were the most in need, and to reduce the cost of the study. Because the control group was comprised of maintenance, repair, and small construction shops, it was expected that the group's performance would be slightly higher than the

experimental group's since members were more trades-oriented. It was also expected that the control group had more commitment to their jobs, were slightly more educated and more likely to work longer in one shop to gain mastery.

Three months prior to training, productivity, leadership style, and personal growth were measured. Measures of productivity included the value of goods produced; manager (of foremen) ratings of overall shop performance, product quality, and speed of production; and assessments completed by inmate case-managers. Leadership style was measured through pre- and posttraining interviews with the researcher. Work habits, job skills, turnover, case manager evaluations, manager ratings of citizenship behavior, manager ratings of respect for supervisors, and disciplinary offenses measured inmate personal growth. These measures were then repeated 4 months after training. (Crookall, [1989] notes that case manager evaluations were conducted on a regular basis and therefore the individuals completing them were unaware of their use in the study.)

Data analysis was conducted by using MANOVA analyses and subsequent univariate and post hoc procedures. Overall results of the analyses supported Hypothesis 1, foremen who received leadership training (SL or TFL) when compared to a control group had subordinates with increased rates of productivity and personal growth. Specifically, wholesale value of goods increased 13% for the TFL group and 28% for the SL group. The point of comparison was all other industry shops in the six institutions where product value increased by only 3%. Due to the small n (6) in the comparison group, a test of statistical significance was not conducted. In addition,

managers who supervised the foremen rated the SL and TFL group's performance statistically significantly higher after training than before training ($p < .05$). Ratings were not statistically significantly higher for the control group's performance after training ($p > .05$). These same managers also reported mild improvements in quality in the two experimental groups though the results were not statistically significant. Managers' ratings of quantity or speed of performance, increased for all three groups but again results were not statistically significant. Furthermore, case managers' ratings of work performance indicated that the average rating of subordinates in the TFL group increased 15.9%, whereas the average rating of subordinates in the SL group increased only 3.7%. The controls remained the same. Statistical significance at posttest was not found due to the TFL group being significantly below the other two groups at pretest.

Personal growth and development was measured both inside and outside of the workplace. Inside the workplace, turnover reduced significantly between pre- and posttest for both experimental groups ($p < .05$) but not for the control group. One qualitative difference between the SL and TFL groups was that for the first time in 10 years, inmates were reportedly asking to work in the settings where TFL had been implemented. Managers' evaluations of work habits indicated that the experimental groups made substantial improvements, TFL improved by 19.8% and SL improved by 28.6%. The control group increased by 10.1%. The author notes that the experimental groups seemed to be increasing at a higher rate than the control group; however, there was not sufficient power to detect a statistically significant difference.

Manager ratings of inmate respect for supervisors and disciplinary offenses indicated a statistically significant increase in respect for the TFL group ($p < .05$) but not for the SL or control groups. Manger evaluations of job skills indicated a statistically significant increase in job skills for the TFL group ($p < .05$) but not for the SL or control groups. Outside the workplace, case manager assessments of inmates on their participation in rehabilitation programs, their acceptance of responsibility, and their potential for law abiding behavior indicated an increase in evaluations of both experimental groups ($p < .05$). Manager's ratings of inmates becoming better citizens indicated a statistically significant higher rating for the TFL group ($p < .05$) but not for the SL or control groups. There were no statistically significant differences concerning disciplinary offenses.

Hypothesis 2 tested the relation between transformational leadership and personal growth, specifically whether transformational leadership would be associated with greater increases in subordinate personal growth than situational leadership. This hypothesis was supported in part. The TFL group demonstrated improvements on all seven dependent variables whereas the SL group demonstrated improvements on six. TFL had gains larger than SL on turnover, respect, job skills, citizenship, and disciplinary offenses. SL had larger gains than TFL on work habits and case manager evaluations of growth. Both groups made statistically significant improvements on turnover, work habits, and case managers' evaluations of growth; however, the TFL group also made significant improvements on respect, job skills, and citizenship. Qualitative data did not yield any differences between the groups. However, it was

reported (by managers) that inmates were asking to work in the TFL group workshops.

The third hypothesis relevant for this study tested the relation between training and foreman acceptance and application by measuring end-of-course evaluations. Results indicated that at pretest, the SL group expressed significantly higher intentions of applying training while on the job ($p < .05$) than the TFL group. At posttest, the SL group reported higher usage than the TFL group but results were not statistically significant and the TFL group had a slightly higher, though not statistically significant, rate of implementing plans of action than the SL group. Qualitatively, differences existed in how foreman viewed training. SL training was considered a review of basic skills whereas TFL training was considered more of a personal development experience, involving learning new things. Differences in effects were also reported with SL training resulting in the resolution of critical incidents and TFL training resulting in changes within the person.

Limitations of the Crookall (1989) study include the fact that the subgroup of inmates who were in both the pre- and posttest samples was only 20% due to high turnover rates and use of random sampling. However, control group performance was stable among inmates who were in both pre- and posttest cohorts. The author cites this stability as indicative that maturation and historical influences were minimal and therefore most of the variance could be attributed to training. A second limitation stemmed from the control and situational groups being further from the mean at pretest than the transformational group. Had they been closer, the MANOVA

analyses would have been more meaningful as the experimental groups rose above the mean. A third limitation stems from not having a second control group that received training in a subject not related to leadership. The author provided a number of arguments against this as reasonable explanations for results, including the presence of second order effects of training; the fact that subordinates' performance improved; the specificity of effects on the intended variables; and the fact that according to other studies, Hawthorne effects do not generally occur in leadership training. Another limitation stems from the fact that random assignment to training was not conducted. This limitation reduces the external validity of the study. Finally, foreman possessing knowledge of an upcoming posttest may have put forth greater effort than is typical. Despite these limitations, the results demonstrate that leadership training can increase productivity and personal growth. Situational leadership produced larger increases on a few variables, however statistical significance was not found. Overall, transformational leadership produced more increases, often statistically significant, across the variables tested. The results suggest that transformational leadership can be developed in leaders and that doing so has positive implications. Since Crookall (1989) supports the idea that transformational leadership can be developed, the next question becomes, does executive coaching develop transformational leadership? And, why should executive coaching be used instead of the Full-Range of Leadership training? Before addressing this further, a second study demonstrating that transformational leadership can be developed is reviewed.

Bass and Avolio (1994b) conducted a quasi-experimental, pre- and postevaluation of the Transformational Leadership Training Workshop based on the Full-Range of Leadership Development Model. This study evaluated the training workshop over a 3-year period. During that time, a total of 489 participants from Binghamton, New York completed the basic training. Of the 489 participants, 400 went on to complete the advanced training and of these 400 individuals, 66 completed the follow-up module 6–24 months subsequent to the basic workshop

Evaluation data on the Transformational Leadership Training Workshop was both quantitative and qualitative in nature. All 489 participants were made aware of postassessment packages. Two hundred and five of the original 489 participants requested a postassessment package of materials and 105 returned the packages. Most of the data evaluating the program was based on these 105 assessment packages which were comprised of open-ended and structured questionnaires of participants and their colleagues. Leadership, organizational culture, and performance on the job were the variables assessed in these packages through self- and other-ratings. Biographical, personality, and leadership performance data, collected before, during, and after training were also used to assess change because of training. Bass and Avolio (1994b) reported that most analyses are based on the 105 assessment package participants, though in reading the report this was not always clear. Therefore, only data that appeared to stem from the 105 assessment package participants are reported below.

Results from the 105 assessment package participants revealed that participants who completed the Transformational Leadership Development Program demonstrated changes in their leadership styles according to self and other reports as measured by the MLQ. Bass and Avolio (1994b) reported a statistically significant increase of .26 standard deviations occurring for self-rated Individual Stimulation and a statistically significant increase of .23 standard deviations for Inspirational Motivation (*p* values not given). Also, self-rated Management-by-Exception had a statistically significant decrease by .59 standard deviations (*p* value not given). Subordinate evaluations showed similar, though smaller results with statistically significant increases of .12 standard deviations in Inspirational Motivation, .11 for Individual Stimulation, and a reduction of .11 in Management-by-exception (*p* value not given). When Bass and Avolio looked at changes in the highest and lowest rated leaders on the pretraining MLQ, they found that after training the highest rated leaders had slightly lower scores on the MLQ, though not statistically significant. They stated this as evidence that regression to the mean was not occurring and therefore changes in low rated leaders could be attributed to training. Low rated leaders showed significant increases on all four transformational scales (*p* values not given). These results suggest that transformational leadership can be developed in leaders who demonstrate low levels of transformational leadership behavior. The practical significance of these findings, however, may be questionable as they were relatively small. However, they may suggest that leadership is enhanced versus developed by the Transformational Leadership Development Program.

Bass and Avolio (1994b) reported that changes in leadership style also occurred within organizations. Workshop participants and their subordinates reported their organizations as becoming more transformational and less transactional over time. On a survey with scores ranging from +14 to -14, participants rated their organizations as 6.60 pretraining versus 8.70 posttraining on transformational leadership and -3.32 pretraining vs. -2.41 posttraining on transactional leadership (*p* values not given). Subordinates reported similar changes in workplace culture. They rated their organizations as 6.80 pretraining versus 10.41 posttraining on transformational leadership and -4.40 pretraining versus -3.72 posttraining on transactional leadership (*p* values not given).

Internal and external blocks inhibiting leadership development plans were also reported (Bass & Avolio, 1994b). The most common internal block was lack of self-discipline (22%) and the most common external block was time pressure (25%). The most common factors having a positive impact on implementation of leadership development plans were self (38%) and support from colleagues (34%). Regarding improvements in work relationships as a result of the leadership training, 54% of participants reported improved relationships with bosses, 75% reported improved relationships with subordinates and colleagues, and 41% reported improved relationships with clients. Regarding progress toward accomplishing leadership development plans, 95% of the participants indicated at least some progress towards achieving their plan and 75% stated that they expected to achieve their plan as a result of training. When asked how worthwhile the program was, 53.5% indicated that it

was “a great deal,” 26.8% stated “fairly much,” and 19.7% stated “to some degree.” As far as satisfaction with the application of leadership model to participants’ overall development, 47% of basic and 46% of advanced training participants indicated that they were “a great deal” satisfied, and 43% of basic and 42% of advanced indicated they were “fairly much” satisfied. Regarding overall satisfaction with the program, 55% of the basic and 47% of the advanced stated they were “a great deal” satisfied and 38% of the basic and 45% of the advanced indicated they were “fairly much” satisfied. Of all the modules rated, on a 5-point scale, module 4, which focused on MLQ results and the construction of a development plan, was rated as the most important (4.1) and most liked (3.6). Module 4 appears to parallel the 360 degree feedback and development plan emphasized in executive coaching.

A third study investigating the effects of transformational leadership training was conducted by Barling et al. (1996). This study utilized a pretest-posttest control group design to determine the effects of transformational leadership training among nine bank managers, specifically subordinate perceptions of transformational leadership among leaders, subordinate commitment to the organization, and financial performance. Nine managers were randomly assigned to the transformational training group and 11 managers were assigned to the control group. Statistical analyses included multivariate analyses of covariance. Results indicated that training led to statistically significant changes in subordinate views of the transformational leadership behavior of their leaders, subordinate commitment to the organization, and two aspects of financial performance.

One region of a large bank in Canada served as the site for this study. Within this region, 20 branches and branch managers existed. Three branches were considered large (40–60 employees), eight medium-sized (15–39 employees) and nine small (14 or less). The 20 managers were randomly assigned to the control and experimental groups. The experimental group included managers from one large, four medium, and four small branches; five were male and four were female. The control group included managers from two large, four medium, and five small branches; six were male and five were female. Each manager provided the names of five subordinates to fill out questionnaires. Questionnaires consisted of the MLQ and the short form of the Organizational Commitment Questionnaire. Subordinates completed these instruments 2 weeks prior and 5 months subsequent to the training. The number of personal loan and credit card sales (also measured 2 weeks prior and 5 months subsequent to training) served as performance measures.

Training consisted of a one-day training session on transformational leadership followed by four individual “booster sessions.” This training seemed to parallel the training workshop based on the Full-Range of Leadership Model proposed by Avolio and Bass (1991) and focused on becoming Intellectually Stimulating since this was the lowest pretest score for these leaders. An analysis of variance revealed a statistically significant group difference on pretest scores ($p < .01$). However, follow-up univariate analyses of variance failed to yield statistically significant differences, though subordinate ratings of charisma approached significance ($p < .06$). Roy-Bargman step-down analyses were conducted to explore pretest group differences

further. One statistically significant effect emerged, subordinate pretest ratings of charisma were higher in the control group than the training group ($p < .01$). Multivariate analyses of covariance were conducted to determine the effects of training. The dependent measure was posttest subordinate ratings of transformational leadership; the covariate measure was the pretest ratings; and the independent variable was group membership. A statistically significant effect occurred for training ($p < .01$). Univariate ANOVA analyses resulted in statistically significant effects for all four dependent measures: Intellectual Stimulation, Individual Consideration, Charisma, and Organizational Commitment ($p < .01$). Roy-Bargman step-down analyses conducted to determine the intercorrelations among variables resulted in only two significant effects: subordinates of leaders in the training group viewed statistically significantly more intellectual stimulation among their leaders ($p < .01$) and demonstrated significantly higher organizational commitment ($p < .02$). Training effects, as assessed by univariate analyses of covariance, demonstrated significant results for number of personal loan sales ($p < .02$) and credit card sales ($p < .09$). Significance level used for financial outcomes was .10 due to limited number of data points.

Limitations identified by Barling et al. (1996) included the limited focus of outcomes considered, i.e., only considering job satisfaction and one financial measure outcome. They also noted that the relatively small number of participants in this study limited the power to find statistically significant findings on the financial outcome measure. They recommend that future research use performance indicators based on

individual performance requirements. Further recommendations include the use of a placebo group to control for Hawthorne effects and the consideration of all transformational variables, not just Intellectual Stimulation; therefore focusing the training more broadly.

Summary of Empirical Support

Three studies have evaluated the effectiveness of transformational leadership training (Barling, et al., 1996; Bass & Avolio, 1994b; Crookall, 1989). All studies demonstrated positive change as a result of transformational leadership training. Crookall (1989) demonstrated that transformational leadership training resulted in increased productivity and personal growth of subordinates as well as increased personal growth of leaders. Bass and Avolio (1994b) demonstrated that training in transformational leadership results in increased leadership knowledge and increased transformational skills. Training also resulted in better relationships with bosses, colleagues, and subordinates and leaders were overwhelmingly satisfied with the training they received. Barling et al. (1996) demonstrated that training in transformational leadership resulted in increased subordinate ratings of transformational leadership in their leaders, increased subordinate organizational commitment and increases in branch-level financial performance.

These three studies support the idea that transformational leadership can be developed in leaders and that doing so results in positive changes for leaders,

subordinates, supervisors and organizations. But if transformational leadership can be developed through transformational leadership training, why use executive coaching?

Link to Executive Coaching

One way to conceptualize executive coaching is to consider it as an intervention geared towards increasing transformational leadership behavior. So, if this is true, how is it different from transformational leadership development? One might speculate that since transformational leadership development only focuses on transformational leadership, as defined by the MLQ, it may have a more narrow focus than executive coaching. Transformational leadership development uses only the results from the MLQ as data for development with executives whereas executive coaching uses the results from many instruments including leadership style inventories, psychological tests, qualitative interviews with subordinates, peers, supervisors, and sometimes family. Transformational leadership development is limited to Bass's conceptualization of transformational leadership whereas executive coaching is not. Regardless of whether executive coaching is a better method for increasing transformational leadership, the fact that it might increase it would speak to its value as a consultation intervention.

Summary

The previous section elaborated on the first area of consensus within a portion of the leadership literature, transformational leadership. Within this elaboration, a

review of the theory, Bass's transformational leadership and the Full-Range of leadership model were provided, as well the empirical support for these models. Also, provided was a discussion on how to develop transformational leadership and the empirical support for such development. Having thoroughly reviewed transformational leadership, the next part of this chapter will discuss the second area of consensus gleaned from the leadership literature, the most effective method of measuring leadership. This knowledge is necessary in order to decide how to measure whether executive coaching increases transformational leadership. Following this section, the purpose of the present study will be further detailed.

Measuring Leadership

The second area of consensus in the leadership literature involves the measurement of leadership effectiveness. According to Hogan et al., in their 1994 article "What We Know About Leadership," leadership effectiveness is primarily measured in five ways: (1) actual team performance; (2) subordinates, peers, or supervisor's ratings; (3) the prediction of leadership behavior of strangers; (4) leaders' self-rating; and (5) examining derailed leaders. Of these five ways, they suggest that actual team performance is the best measure; however, since these data are often difficult to obtain and usually contaminated by external variables beyond any leader's control (e.g., illnesses, death, natural disasters, etc.), they recommend the use of subordinate, peer, and supervisor evaluations as the best alternative for measuring leadership effectiveness. "The empirical literature suggests that these sources of

information are correlated; that the respondents tend to key on different aspects of a leader's performance; and that, taken together, these evaluations are moderately but significantly related to team performance" (p. 496). Therefore, for the purposes of this study, leadership was measured by subordinate, peer, and supervisor ratings. This works well, since the MLQ, designed to measure transformational leadership, is based on subordinate, peer, and supervisor ratings.

Conclusion

This chapter has reviewed the practice-based and empirical literature on executive coaching and provided a discussion of transformational leadership with the purpose of making a connection between the two. Executive coaching as a consultation intervention is geared towards increasing leadership. As defined by Kilburg (1996), executive coaching is a process designed to improve executive performance and the overall performance of the organization. The goal of executive coaching is to help executives do their job better and arguably, their main job involves being effective business and organizational leaders.

As defined by Bass (1985), transformational leadership is leadership that elevates followers and leaders to higher levels of performance by focusing on the relationship between followers and leaders. Transformational leadership, as augmented by transactional leadership, has been validated by two meta-analysis as one of the most effective form of leadership (Gasper, 1992; Lowe et al., 1996). Since executive coaching and transformational leadership tend to focus on the relationship

between followers and leaders and since the role of executive coaching seems to be developing leadership, it seems necessary to ask the question of whether or not it truly does. This knowledge is important for evaluating the value of executive coaching.

Purpose of Study

With the recent proliferation of articles written on executive coaching in the psychological, training and development, and business literature, many questions have arisen as to the effectiveness of executive coaching as an intervention. The overwhelming majority of articles written have been practice-based articles that provide general descriptions and information about executive coaching as an intervention. Only seven articles have been empirically based. Ironically, only three of these studies originate from the psychological domain (one a dissertation) and none have thoroughly reviewed the executive coaching literature and focused specifically on the effects of coaching on leadership.

To date, there has been little effort to consolidate what is known about executive coaching as a distinct intervention. Two attempts have been made. One was the special edition of the *Consulting Psychology Journal: Practice and Research* devoted to executive coaching. Though this special edition has contributed to the knowledge base of executive coaching, it was published over 3 years ago and focused only on the psychological practice-based literature. A second was the annotated bibliography of executive coaching (Douglas & Morley, 2000) published by the

Center for Creative Leadership. However, until the present study, a critical and comprehensive review of the practice-based literature and empirical research on executive coaching has not occurred. Furthermore, even with the seven studies on executive coaching, little remains known about executive coaching outcomes or its effectiveness as a consultation intervention. Therefore, the purpose of the present study is to determine whether executive coaching is an effective method for increasing leadership, specifically transformational and active transactional leadership.

Four global research questions were asked about executive coaching. The first question asks whether executive coaching increases transformational leadership as measured by the MLQ 5x (Short Form). The second questions asks whether executive coaching increases active transactional leadership and reduces passive transactional leadership as measured by the MLQ 5x (Short Form). The third question asks whether executive coaching decreases non-leadership as measured by the MLQ 5x (Short Form). Finally, the fourth question asks whether executive coaching increases outcome variables as measured by the MLQ 5x (Short Form).

CHAPTER II

METHOD

Sample

There were three groups of individual participants in this study: (1) executive coaches; (2) clients who are seeking, or have sought executive coaching to improve their workplace performance; and (3) the direct-reports, peers (and supervisors) of the clients who are seeking or sought executive coaching. Coach-participants were defined as anyone who provided executive coaching services. This group was important since it was their executive coaching services that were studied. Client-participants were defined as any recipient of executive coaching services. This group was important since their leadership was measured to determine whether executive coaching had an effect on leadership. Direct-reports/peer-participants were defined as anyone who reported directly to clients or who were at parallel organizational levels. This group was important since they are considered the best alternative to actual direct-report performance measures of leadership (Hogan et al., 1994).

A leader within the executive coaching field, 10 organizations tied to executive coaching, published material, the Internet, and additional contacts and resources provided to the researcher were used to generate a list of potential executive coaches who might have been interested in participating in this study. Due to the difficulty in gaining participation, a total of 2,250 coaches were contacted

through email/mail/listserves and occasionally in person to participate in this study. Of the 2250 invited coaches, 268 were invited under the initially planned method which asked coaches to invite client participation as well as (2–4) direct-reports and (1–2) supervisors. Six coaches agreed to participate using this method and received 20 research packets. Because none of these packets were returned, the methods were revised.

The remaining 1,982 coaches were invited through first-class mail, email, listserves, or in person by the researcher, to participate. A total of 41 coaches participated by returning demographic information and/or inviting client participation. Fourteen coaches did not return demographic information; therefore, demographic data are missing on these coaches.

The 41 coaches who invited client participation identified a total of 194 potential client participants. Out of the 194 packets that were distributed to clients, 50 clients responded. Forty-four of the 50 clients had at least one direct-report/peer respond.

The demographics of responding coaches and clients are reported in Chapter III, the results chapter. The pre/early-coaching clients were expected to be similar to the post/later-coaching clients based on the variables identified by Judge and Cowell (1997), Gegner (1997) and Hall et. al. (1999) and expanded by the researcher. Relevant demographic variables were age; race/ethnicity; gender; educational background, including highest degree and the discipline degree was earned in; years of total work experience; years in current position; type of organization currently

working for; level within the organization; and reasons for seeking executive coaching, including whether coaching was self- or other-referred and the goals for coaching. Since both groups are clients who are seeking or have sought executive coaching, there is no reason to expect that these two groups were different in any critical way.

Instruments

Multifactor Leadership Questionnaire

The Multifactor Leadership Questionnaire (MLQ) 5x Short Form (Bass & Avolio, 1995) is the latest version of the MLQ used in research. The MLQ 5x (Short Form) contains 12 scales for each of its 12 factors: Idealized Influence (Attributed), IIA; Idealized Influence (Behavior), IIB; Inspirational Motivation, IM; Intellectual Stimulation, IS; Individual Consideration, IC; Contingent Reward, CR; Management-by-Exception (Active), MBEA; Management-by-Exception (Passive), MBEP; Laissez-faire, LF; Extra Effort, EE; Effectiveness, EFF; and Satisfaction, SAT. The first 8 scales measure the Full-Range of Leadership Model (Avolio & Bass, 1991). Of these 8 scales, 5 scales measure transformational leadership (IIA, IIB, IM, IS, and IC), and 3 measure transactional leadership (CR, MBEA, MBEP). In addition, 1 scale measures the lack of leadership (LF) and 3 scales measure outcomes (EE, EFF, and SAT). The MLQ 5x requires respondents to indicate on a 4-point Likert scale ranging from “not at all” to “frequently, if not always,” how frequently each statement fits themselves or their leader with statements pertaining to each of the 12 scales.

Scores yielded on the MLQ 5x (Short Form) are average scores for the items on each scale. Scores on 8 of the 12 scales represent the degree that a leader demonstrates each of the eight leadership scale behaviors. Scores on the outcome scales represent the degree that subordinates are willing to put forth extra effort, the degree that the leader and his/her subordinates and supervisors are satisfied with leadership behavior demonstrated by the leader, and the degree of perceived effectiveness of the leader as judged by the leader and his/her subordinates and supervisors. Scores used in the present study were based on all 12 scales as rated by each client and 1–2 of his/her direct-reports/peers. A brief review of each scale used in this study follows. Psychometric information, as presented in the manual (Bass & Avolio, 1995), is also provided for each scale. Internal consistency estimates for the leadership scales are based on over 2000 respondents completing the MLQ 5x in nine studies as summarized in the manual. Internal consistency estimates for the outcome variables are based on a subset of those studies (EE = 7 studies, EFF = 3 studies, SAT = 3 studies). For a sampling of MLQ 5x (Short Form) items, see Appendix A.

The Idealized Influence (Attributed), IIA, scale was designed to measure charismatic leadership that is attributed to the leader or that impacts the follower in some way. This scale has an average internal consistency estimate of .86 and was predicted to relate to executive coaching since it measures the ability of leaders to impact followers in a positive way. Executive coaching, whether remedial or developmental, often addresses how clients impact the people they work with.

The Idealized Influence (Behavior), IIB, scale was designed to measure charismatic leadership that is behaviorally based. This scale has an average internal consistency estimate of .87 and was predicted to relate to executive coaching since it measures the ability of leaders to communicate and unite their organizations around one mission. One of the goals of executive coaching is to help clients keep a clear mission in times of constant change.

The Inspirational Motivation (IM) scale was designed to measure the leader's ability to inspire followers by arousing team spirit and getting them focused on envisioning future goals of the organization. This scale has an average internal consistency estimate of .91 and was predicted to relate to executive coaching for similar reasons as the previous two scales were predicted to relate. IM focuses on building team spirit and morale, which is considered necessary for businesses and organizations to flourish (Bass, 1985). Executive coaching may also focus on building team spirit and morale, especially in instances when clients are failing to provide these things or when clients are anticipating a promotion and seeking to develop leadership skills to manage larger groups of people.

The Intellectual Stimulation (IS) scale was designed to measure the leader's ability to stimulate creativity in their followers. This scale has an average internal consistency estimate of .90 and was predicted to relate to executive coaching since one of the goals of executive coaching is to help clients be more effective in environments characterized by constant change. These environments often require individuals to be creative and open to ideas and to help facilitate creativity in others.

The Individual Consideration (IC) scale was designed to measure the leader's ability to give special attention to each follower's need for achievement and Growth. This scale has an average internal consistency estimate of .90 and was predicted to relate to executive coaching since one of the goals of executive coaching is to increase the ability to manage others more effectively. In particular, Gegner (1997) found that executives who were coached tended to adopt a coaching management style.

Contingent Reward (CR) was designed to measure the extent that leaders identify what needs to be done and agree to provide the reward for its satisfactory completion. This scale has an average internal consistency estimate of .87 and was predicted to relate to executive coaching since this form of leadership requires direct communication between clients and direct-reports. Communication is often a goal in executive coaching.

Management-by-Exception (Active) or (MEA) was designed to measure the extent that leaders monitor performance for deviations, errors and mistakes and then take necessary action to correct the problem. This scale has an average internal consistency estimate of .74 and was predicted to relate to executive coaching since one of the goals of executive coaching is to better manage the performance of others.

Management-by-Exception (Passive) or (MEP) was designed to measure the extent that leaders wait to be informed of such performance deviations, errors and mistakes. This scale has an average internal consistency estimate of .82 and was

predicted to decrease as a result of executive coaching since one of the goals of executive coaching is to better manage the performance of others.

Laissez-faire (LF) was designed to measure the lack of leadership. This scale has an average internal consistency estimate of .83 and was predicted to decrease as a result of executive coaching because one of the goals of executive coaching seems to be increasing leadership.

Extra Effort (EE) was designed to measure the extra effort put forth by followers as a result of their leader's leadership style. This scale has an average internal consistency estimate of .91. It was predicted to relate to executive coaching since the overall goal of executive coaching is to increase client performance and the performance of the overall organization, which if true, then direct-report/peer performance should increase.

Effectiveness (EFF) was designed to measure the effectiveness of a leader's leadership behavior. This scale had an average internal consistency estimate of .91. This scale was predicted to relate to executive coaching since the goal of executive coaching is to increase the performance of the client ultimately making him/her more effective in their position

Satisfaction (SAT) was designed to measure the level of satisfaction with a particular leader's leadership behavior. This scale has an average internal consistency estimate of .94. This scale was predicted to relate to executive coaching since it could be argued that more effective leaders have more satisfied direct-reports/peers.

The MLQ 5x (Short Form) manual (Bass & Avolio, 1995) provided results from a Confirmatory Factor Analyses (CFA) conducted to determine the convergent and discriminant validity of the 12 MLQ 5x scales. The first analysis was performed with LISREL VII and was conducted using all items on the MLQ 5x (Long Form). The overall “full range” of leadership style model did not converge. Post hoc Modification Indices were then used to eliminate items from each scale that did not fit the model parameters. The authors stated that this process did not change the original substantive model (see Bass & Avolio, 1995). Four items for each leadership scale were selected based on the Modification Indices. The authors then ran a series of CFAs to determine the best factor structure model that represented the current MLQ 5x data. A one-, two-, three-, and nine-factor model was tested. The Goodness of Fit Index (GFI), Adjusted Goodness of Fit Index (AGFI), Root Mean Squared Residuals (RMSR) and chi-square results all improved as the model progressed from one factor to nine. The nine-factor model is based on the eight factors in the Full-Range of Leadership Model plus the factor of effectiveness. It had a .91 GFI, .89 AGFI, .04 RMSR, and a chi-square of 2,394 with 558 degrees of freedom ($p < .05$). The GFI and AGFI both exceeded the recommended cut-off criterion proposed in the literature (see Bass & Avolio, 1995). The four items selected for each leadership scale made up the items for the MLQ 5x (Short Form).

Bass and Avolio (1995) provide additional convergent and discriminant validity specific to the MLQ 5x (Short Form) by attempting to replicate findings from an early version of the MLQ (Form 10). Items from this early form were used in the

current form 5x. Factor loadings of indicators, composite scale reliability, and average variance extracted by construct were provided for each scale. The five transformational factors of IIA, IIB, IM, IS, and IC had factor loadings ranging from .66 to .88. The average variance extracted by construct was .61, .59, .65, .66 and .61, respectively. Composite scale reliabilities of these factors were .86, .85, .88, .89, and .86, respectively. The active transactional factors of CR and MBEA had factor loadings ranging from .40 to .81, variances of .59 and .46, respectively, and composite scale reliabilities of .85 and .76, respectively. MBEP and LF had factor loadings ranging from .37 to .88, variances of .60 and .53, respectively, and composite scale reliabilities of .85 and .81, respectively. EFF had factor loadings ranging from .80 to .85, an average variance of .68, and a composite scale reliability of .90. Extra Effort and Satisfaction were not reported. The authors report that all constructs except MBEA exceeded the .50 criterion cut-off in terms of the mean variance accounted for. Composite scale reliabilities exceeded the cut-off requirement of .70 for all scales. All but two items (one item on the MBEA and one item on the MBEP factor) exceeded the .70 criterion cut-off for factor loadings. All factors except IIA and IIB shared more variance with its own measure or indices than with other constructs or indices in the model. Information on external correlates was not provided in the manual.

All of the MLQ 5x (Short Form) factors were used in the present study since it was predicted that executive coaching will increase transformational and active transactional leadership behaviors, decrease nonactive transactional leadership and

non-leadership behaviors, and increase Extra Effort, ratings of Effectiveness and Satisfaction as measured by direct-reports/peers.

Executive Coach Demographic Questionnaire

The Executive Coach Demographic Questionnaire (ECDQ) (see Appendix B) was designed for this study. Questions were written based on the findings of Gegner (1997), Judge and Cowell (1997) and Hall et al. (1999) in order to determine the typicality of the sample of coaches in the present study. Coaches were asked to indicate their age; race/ethnicity; sex; educational background, including highest degree and discipline it which it was earned; total years of work experience; number of years of coaching experience; their current employment setting (independent practice, small or large consulting firm); current professional associations and memberships; licenses held; the type of coaching conducted, for example, behavioral or more psychodynamic; and the length of their typical coaching intervention. Open-ended questions also instructed coaches to describe the process of executive coaching used as well as instrumentation or assessments typically used.

Client Demographic Questionnaire

The Client Demographic Questionnaire (CDQ) (see Appendix C) was also designed for this study. Questions were written based on the findings of Gegner (1997), Judge and Cowell (1997), and Hall et al. (1999) and expanded by the researcher in order to determine the typicality of the present sample of clients and to

gain as much relevant information as possible to demonstrate that there were no systematic differences between the pre/early-coaching and post/later-coaching groups. Clients were compared on age; race/ethnicity; sex; educational background, including the highest degree held; total years of work experience; total years in an executive or leadership position; total years in current position; current organizational level; type of company they are currently employed at; reasons for seeking executive coaching services, including whether they were self or other referred; their goals for coaching; and how they found out about executive coaching.

Procedure

A leader within the executive coaching field, 10 organizations tied to executive coaching, published material, the Internet, the American Psychological Association, and additional contacts and resources provided to the researcher were used to generate a list of potential executive coaches who might have been interested in participating in this study. Due to the difficulty in gaining participation, a total of 2,250 coaches were invited to participate in this study between March 2000 and March 2001. The first 268 coaches were invited under different procedures, which involved coaches inviting client participation as well as 2–4 direct-reports and 1–2 supervisors. The remaining 1,982 coaches were invited under the revised procedures discussed below.

The Initial Contact Letter (see Appendix D) and the Details of Participation (see Appendix E) were mailed, emailed, posted on listserve bulletin boards, or in 100

instances given directly by the researcher, to every coach. The mailed Initial Contact Letter asked coaches to indicate their interest in the study by responding either “yes,” “not sure, but would like to learn more” or “sorry, I cannot help you” and mailing the letter back to the researcher in the provided self-addressed, stamped envelope. When the invitation was emailed, coaches were asked to email the researcher. A follow-up letter (see Appendix F) was mailed/emailed to coaches 10 and 20 days after the Initial Contact Letter and Details of Participation were mailed/emailed. Individuals who posted the invitation on listserves posted the follow-ups as well.

Coaches who returned the Initial Contact Letter and responded “no” were not contacted again. Coaches who respond “not sure, but want to learn more” were contacted by telephone or email (whichever access they provided on the form) and given additional information. Coaches who indicated interest (a) after receiving more information, (b) by returning the Initial Contact Letter marked “yes,” or (c) by emailing the researcher, were mailed the Agreement to Participate document (AP) (see Appendix G) and the ECDQ. Coaches who then agreed to participate were asked to mail the AP document back to the researcher along with the ECDQ in the provided self-addressed, stamped envelope. There was a place on the bottom of the ECDQ for coaches to indicate the total number of clients that they wanted to invite to participate in this study. Number of clients was asked so that the researcher knew how many total research packets to mail each coach. Client names were not given to the researcher. A follow-up contact (see Appendices H and I) was made 10 and 20 days after sending the AP and ECDQ information.

Research materials containing an instruction sheet (see Appendix J), a written script inviting client participation (see Appendix K), preassembled total research packets for the number of clients identified, and reminder cards (see Appendix L) were mailed to coaches who returned the AP and ECDQ. The instruction sheet outlined the details of coaches' participation. It also encouraged coaches to call/email the researcher if they had questions or concerns. The script for inviting client participation was written to ensure that every client received the same invitation and to avoid any perceived coercion to participate. Reminder cards were pretyped by the researcher and included prepaid postage. Coaches could also email the content of the reminder cards if they preferred. If so desired, the researcher forwarded the content to coaches' email accounts. Preassembled total research packets included one set of client research materials and two sets of direct-report/peer research materials (described below). The research materials were coded for identification so that client responses could be matched to their direct reports'/peers' responses while remaining anonymous. The researcher kept a master list including the names of each executive coach along with the corresponding research numbers. Follow-up contact (see Appendices M and N) was made to coaches 10 and 20 days after mailing them the coaching research packets.

Client research materials included three business size envelopes inside of one slightly larger manila envelope. The first business envelope was marked "coaching client" and contained a client consent document (see Appendix O), a MLQ 5x (Short Form) Leader Form (see example questions in Appendix C), a brief demographic

questionnaire (see Appendix B), and a self-addressed, stamped envelope to return the research information to the researcher. The second and third business envelopes were marked “direct-report/peer” and contained the research materials for direct-reports/peers. These materials included an Identification Form (see Appendix P), a direct-report/peer consent document (see Appendix Q), a MLQ 5x (Short Form) (see sample questions in Appendix C) and one self-addressed stamped envelope to mail the MLQ back to the researcher.

The consent documents included in the client and direct-report/peer research materials (see Appendices O and Q) were slightly different from the consent document mailed to the coaches in that they did not require a signature. Coach participation was confidential, whereas client and direct report/peer participation was anonymous. The client consent document also differed from the direct report/peer consent document in that the direct report/peer consent document did not mention executive coaching as the purpose of the study, instead it mentioned leadership. This difference occurred to protect the confidential nature of executive coaching. Similar to the coach consent document, however, the client and direct report/peer documents explained that client and direct report/peer participation was anonymous; the only information provided the researcher was demographic information filled out by the client and the results from the MLQ 5x (Short Form) data collected on each client. Mailing the MLQ back to the researcher demonstrated client and direct-report/peer consent.

Client and direct-report/peer consent documents also detailed what was involved in participation in this study. Participation by clients entailed anonymously completing the MLQ 5x (Short Form) Leader Form and the CDQ and mailing it to the researcher in the provided self-addressed stamped envelopes. It also included distributing a different version of the MLQ to two direct reports or peers by placing the MLQ in the direct-reports'/peers' mailboxes, mailing it to them (postage was included on envelopes), or handing it to them. When clients handed the MLQ to direct-reports/peers, they said, "please take a look at this information" and nothing else. Participation by direct-reports/peers involved anonymously completing the MLQ 5x (Short Form) Rater Form and mailing it back to the researcher in the provided self-addressed stamped envelope.

After coaches received the coaching research packets, the instruction sheet asked them to read (in person or by telephone) the script inviting client participation to each client that they identified as potential participants. The last sentence of the script asked if they could mail or hand-deliver each client a total research packet. If the client agreed, the coach distributed through mail or hand-delivery a total research packet to the client. All packets included prepaid postage for mailing. Coaches were also asked to send reminder cards or emails about 10 and 20 days after mailing or delivering the packets to clients. The reminder cards included a disclaimer for those who already completed the materials. The researcher either verbally or through email prompted the coaches to send the reminder cards/emails.

Clients who agreed to participate completed the CDQ and MLQ and mailed it back to the researcher. They also distributed a different version of the MLQ to two direct-reports or peers. Before distributing these materials, however, they wrote their names on a form inside the materials so that the direct-reports/peers knew who to rate. Direct-reports/peers who agreed to participate were instructed to respond to the MLQ and mail it back to the researcher without the form identifying the client-participant they were asked to rate.

Analysis

Gelso (1979) identified the field experiment as potentially the most powerful counseling research design because of its rigor and relevance, especially when investigating global factors such as entire treatment packages. He also noted the relative difficulty in designing this type of study due to such factors as pretest measures, randomization, and control groups.

Regarding pretest measures, Campbell and Stanley (1963) stated that they are not essential for true experimental designs. They noted that randomization is sufficient for assuring the lack of bias between groups. Gelso (1979) argued that in field studies where true randomization is not possible, approximations of randomization can be used. For example, assigning people to a wait-control group based on their inability to meet during the treatment time or assigning people to a wait-control group after the treatment condition has filled up. In order to use this form of approximation, however, he stated that the researcher must consider whether or not being available to

meet during the treatment time or contacting the researcher after the treatment condition has filled, may reflect some underlying quality related to the dependent variable(s). Gelso also recommended that when approximations for randomization are used, the researcher compare the experimental and control group on as many relevant variables as possible in order to determine whether they come from the same population.

The present study was a field study investigating a global variable or treatment package, executive coaching. Because clients could not be randomly assigned to executive coaching or a control group, this study used an approximation of randomization. Clients who were waiting to be coached or in the early stages of coaching (0–3 months) were compared to a group of executives who already received executive coaching services or were in the later stages of coaching (more than 3 months). Since the process of executive coaching takes anywhere from 6 to 12 months, the difference between the two groups appeared to be based on a legitimate time of need versus other variables such as laziness, or inability to attain services at a specific time. Therefore, no systematic differences between the two groups of clients was expected. To test for differences, demographic data were gathered on age; race/ethnicity; sex; educational background, including the highest degree held; total years of work experience; total years in an executive or leadership position; total years in current position; level within current organization; type of company currently employed at; reasons for seeking executive coaching services, including whether they were self or other referred; goals for coaching; and how they found out about

executive coaching. Participant groups were compared via statistical analysis on each of these variables in order to determine whether or not the two groups came from the same population.

Hypothesis Testing

Three two-way multivariate analyses of variance (MANOVA) and one ANOVA were performed to test the four global hypotheses. Three MANOVA analyses were required because the transformational, transactional, and outcome constructs include multiple variables. Bray and Maxwell (1985) report four multivariate test statistics that can be used to compute the overall MANOVA (Pillai-Bartlett trace, Wilk's lambda, Roy's greatest characteristic root, and the Hotelling-Lawley trace), each yielding slightly different results. However, they state that in the case of a two group MANOVA, the four approaches yield similar results. Therefore, which test to use is not as great of concern. This study used the Pillai-Bartlett trace (V) test statistic to test each overall MANOVA since it was found to be the most robust by Bray and Maxwell (1985). The grouping variables for the analyses are executive coaching (pre/early-coaching vs. post/late-coaching) and rater (client vs. direct-report/peer). Statistically significant MANOVA analyses were followed up with individual ANOVA analyses.

The first two-way MANOVA was performed to test the global hypothesis that executive coaching increases transformational leadership (Hypothesis 1) as measured by the MLQ 5x (Short Form). The dependent variables were the five transformational

scales: Idealized Influence (Behavior), Idealized Influence (Attributed), Inspirational Motivation, Intellectual Stimulation, and Individual Consideration. A hypothesized statistically significant main effect for coaching and a nonsignificant main effect for rater as well as a nonsignificant interaction effect were expected. If a significant MANOVA occurred, then follow-up univariate analyses were performed to determine which specific variables yielded the differences (Bray & Maxwell, 1985). The post/later-coaching group was predicted to score higher on all of the transformational scales regardless of whether clients or direct-report/peers provided the ratings.

The second two-way MANOVA was performed to test the global hypothesis that executive coaching increases active transaction leadership behavior and decreases passive transactional and laissez-faire leadership behavior (Hypothesis 2) as measured by the MLQ 5x (Short Form). The dependent variables were the three transactional scales: Contingent Reward, Management-by-Exception (Active), and Management-by-Exception (Passive). A hypothesized statistically significant main effect for coaching, a nonsignificant main effect for rater, as well as a nonsignificant interaction effect were expected. If a significant MANOVA occurred, then follow-up univariate analyses were performed to determine which specific variables yielded the differences (Bray & Maxwell, 1985). The post/later coaching group was predicted to score higher on CR and MBEA and lower on MBEP regardless of whether clients or direct-report/peers provide the ratings.

A two-way ANOVA was performed to test the third global hypothesis that executive coaching results in lower non-leadership as measured by the MLQ 5x

(Short Form). The dependent variable was the non-leadership variable. A hypothesized main effect for coaching, a nonstatistically significant effect for rater, and a nonstatistically significant interaction were expected. If a significant ANOVA occurred, follow-up comparisons were performed to determine where the differences occurred (Green, Salkind, & Akey, 2000).

The third two-way MANOVA was performed to test the fourth global hypothesis that executive coaching results in higher scores on outcome variables (Hypothesis 3) as measured by the MLQ 5x (Short Form). The dependent variables were the three MLQ outcome scales: Extra Effort, Effectiveness, and Satisfaction. A hypothesized statistically significant main effect for coaching, a nonsignificant main effect for rater, as well as a nonsignificant interaction effect were expected. If a significant MANOVA occurred, then follow-up univariate analyses were performed to determine which specific variables yielded the differences (Bray & Maxwell, 1985). The post/later-coaching group was predicted to score higher on all three outcome scales regardless of whether clients or direct-report/peers provide the ratings.

CHAPTER III

RESULTS

This chapter is organized into two main sections. The first section describes the participants, response rate, and demographic information. The second section provides the results and discussion of the inferential statistics. In this second section, normative data on the MLQ 5x (Short Form) is compared to the MLQ data in the present study.

Participants

There were three types of participants in this study: executive coaches, clients of executive coaching, and the direct-reports/peers of executive coaching clients. The researcher invited executive coaches to participate, executive coaches invited clients to participate, and clients invited direct-reports/peers. A total of 41 coaches, 50 clients, and 62 direct-report/peers participated in this study from March 2000 to March 2001. Due to difficulty obtaining participation, it is important to discuss how this process unfolded.

Ten organizations linked to executive coaching were contacted with the intent of gaining support from someone within the organization who would facilitate an invitation to their executive coaches to participate in this study. Out of the 10 organizations, 4 organizations participated (20%). Out of the 4 organizations, 660

executive coaches were invited. How many participated cannot be calculated since 575 were invited by listserves and the researcher has no way of determining who these coaches were. The remaining executive coach participants were individuals contacted directly by the researcher. It is possible that some of coaches invited by listserves were also invited by the researcher, therefore creating overlap or repeat invitations.

The total number of executive coaches invited to participate in this study was 2,250. Of these 2,250 coaches, 268 (12%) were invited under a previous method. Under the previous method, the researcher invited coaches to participate through first-class mail and email and coaches were directed to invite clients as well as 2–4 direct-reports/peers and 1–2 supervisors for each client. Out of the 268 coaches invited under these methods, 6 coaches (2%) returned the AP and ECDQ and received a total of 20 research packets. However, no research materials were returned under this method. As a result, the methods were revised.

The remaining 1,982 (of the original 2,250) executive coaches were invited under a set of revised methods which involved coaches only having responsibility for inviting clients to participate who in turn invited direct-reports/peers. As in the previous methods, the researcher again invited coaches to participate through first class mail/email/or in person. In addition, 720 coaches were invited through listserves by someone other than the researcher. Out of the 1,982 coaches, 31 returned the AP and ECDQ. Four of these 31 coaches, however, withdrew from the study prior to its completion, leaving a total of 27 coaches who returned the AP and ECDQ and invited

client participation. Fourteen additional coaches invited client participation but did not return the AP and ECDQ. Therefore, a total of 41 coaches (2%) participated in this study by returning survey materials and/or inviting client participation. Because 14 coaches did not return the AP and ECDQ, there are no demographic data on these executive coaches. Twelve of these 14 executive coaches were from one organization and had three clients (total) return surveys.

The 41 executive coaches who participated in this study identified a total of 194 potential client participants and were therefore mailed 194 total research packets, which were mailed to the coaches by the researcher. It is unknown if all 194 research packets were distributed as directed. Eight coaches (20%), who received a total of 51 research packets, had no research materials returned, suggesting that they did not distribute the research packets. The remaining 33 of the 41 coaches (80%) agreeing to participate did have responses returned.

Regarding client responses, a total of 58 clients returned survey materials. Eight of these responses were excluded from analyses due to an inability to determine group membership (pre/early-coaching vs. post/late-coaching) resulting in useable responses from 50 packets. Because it is unknown whether all 194 clients were invited, it is difficult to calculate a true response rate. If all 194 research packets were distributed, then there was a 25.77% response rate from clients. However, if we assume that the eight coaches who had no materials returned did not distribute any, then there was a 34.96% response rate from clients. Because it is unknown how

many of the 194 clients invited to participate were pre/early-coaching versus post/late-coaching, a response rate per group could not be calculated

Regarding direct-report/peer responses, 83 direct-report/peers returned survey materials out of possible total of 388 (2×194). Seventeen of these responses were excluded from the analyses due to the inability to determine group membership (pre/early-coaching vs. post/late-coaching). Four were excluded from the analyses due to their accidentally receiving a MLQ Leader Form rather than a MLQ Rater Form, resulting in 62 useable responses. It is difficult to calculate a response rate for direct-reports/peers because it is unknown whether all 194 clients were invited to participate and whether those clients who were invited in turn invited one or two of their direct-reports/peers to participate in this study. If we assume all research materials were distributed as directed, direct-reports/peers had a 16% response rate. If we assume that the eight coaches and 51 research packets were not distributed as directed, direct-reports/peers had a response rate of 22%. Out of the 62 responses, 35 were from direct-reports, 10 were from peers (12.04%), 6 were from supervisors (7.22%), and 11 were unknown (17%).

A total of 50 clients' leadership was rated. Of these 50 clients, 13 (25%) were pre/early-coaching clients (0–3 months of coaching). Twelve of these pre/early coaching clients (92%) had at least one peer/direct-report return surveys, and six (46%) had two direct-reports/peers return surveys. When more than one direct-report/peer returned surveys, their responses were averaged. No more than two direct-reports/peers could respond for any one client.

Thirty-seven of the 50 useable response packets (71%) were post/late-coaching clients (3 months or more of coaching). Twenty-three of the post/late-coaching clients (62%) had at least one direct-report/peer return a survey and 21 (56%) had two direct-reports/peers respond. Again, no more than two direct-report/peers could respond per client and when two responded, their scores were averaged. (see Table 1 for the response summary for coaches, clients, and direct-reports/peers).

Table 1
Response Rate Summary for Coaches, Clients, and Direct-Report/Peers Under Revised Methods

	Invited	Participated	Response Rate
Coaches	1982	41	2%
Clients	194 ^a (143 ^b)	50	25.77% (34.96% ^b)
DR/P	388 ^a (286 ^b)	62 ^c	15.97% (21.64% ^b)

^aIt is unknown whether all potential clients and potential direct-reports/peer participants were actually invited.

^bThis number excludes eight executive coaches who received 51 research packets because none of the coaches had any survey materials returned, making it unlikely that these materials were distributed.

^cIt is unknown whether every client that participated passed along the survey materials to his/her direct/reports/peers. This number does not reflect the total number of individual direct-report/peer responses since 1 or 2 direct-report/peer responses could respond per client. This number instead represents how many clients had direct-report/peer responses.

Executive Coach Demographic Information

All 27 of the 41 coaches who returned demographic questionnaires self-identified as Caucasian. Two resided outside of the United States. Thirteen (48%) were female and 14 (52%) were male. Their mean age was 49.26 years. Executive coach participants had an average of 25.19 years of work experience and 7.38 years of coaching experience. One (4%) indicated high school as his highest educational level, one (4%) indicated 2 years of community college, eight (30%) indicated bachelor degrees, four (15%) indicated doctorate degrees, and one (4%) indicated a medical degree as highest educational level. Within the eight bachelor degrees, two were in marketing, one was in math, one education, one economics, one commerce, one liberal studies, and one did not indicate a field of study. Within the masters degrees, seven were in business administration or management, one both in business and in psychology, one in organizational behavior and psychology, one in financial planning, one in counseling, and one in nursing. Within the doctoral degrees, one was in organizational psychology, one in social psychology, one in adult education, and one in counseling.

Within place of employment, 16 executive coach participants (59%) worked in independent practice, 7 (26%) in small practices (1–10 people), 1 (4%) in a large practice (more than 10 people), and 3 (11%) did not indicate the size of their practice. Executive coaches were also asked to indicate whether their executive coaching practice was more behavioral or psychodynamic. More recent literature (Laske, 1999b) suggests that a developmental approach to executive coaching is also used

and should be considered. In the present study, 10 executive coaches (34%) identified their approach as more behavioral, 1 (4%) as more psychodynamic, 5 (19%) as both psychodynamic and behavioral, 3 (11%) identified their approach as neither, 5 (19%) left the item blank, and 5 (19%) did not respond to this question because they received an earlier version of the ECDQ which excluded the question. Of the 3 who identified their approach as “neither,” one identified his approach as neurological “aiming at transformation of ‘being,’” another identified his approach as developmental, and the third did not identify an alternative approach.

The ECDQ also asked coaches to provide qualitative descriptions of their approaches to executive coaching. All 27 coaches (100%) provided a description of their approach ranging from a one-word response to a one-quarter-page response. Most responses, however, were one to two sentences. The researcher reviewed all the responses and extracted common ideas discussed across the responses. Three themes seemed to emerge. The first dealt with the notion of executive coaching being client-centered and need or goal based. Goals were often mentioned as being performance-based but also included gaining work-life balance, greater fulfillment in one’s career, and making dreams a reality. The second theme was about assessment. Coaches identified the need to assess client “beliefs,” “assumptions,” “perspectives,” “world-view[s],” “attitude[s],” “behaviors,” “strengths,” “limitations,” “emotional competencies,” and “leadership skills.” A number of coaches wrote about needing to “identify the gap” between client’s current situation/selves and the desired situation/selves. Once these areas were assessed and the gaps were identified,

coaching focused on “clos[ing] the gap.” The third theme addressed the ways in which the gap could be closed. Coaches wrote that executive coaching challenges clients to be different, it helps clients construct a “map to where they are going,” helps keep them focused on this map, “holds them [clients] accountable,” and devises measures for identifying when the destination has been reached. Coaches wrote that they sometimes “listen,” “support,” and “challenge” their clients as well as serve as a “strategic thinking partner” or “active learning partner” with clients to help clients reach their destinations/goals.

The ECDQ also asked coaches to list the various assessments they use when providing executive coaching services. All 27 coaches reported the use of at least one assessment. The range of instruments used was (1–7) with the most frequent response being one assessment or one battery of assessments. Five instruments were listed most frequently. The first was the Myers-Briggs Type Indicator (Briggs-Myers & Mcaulley, 1998) with 10 coaches (37%) reporting the use of this instrument. The next most frequently cited instrument was the DISC personal profile (Inscape Publishers, 1994) with seven coaches (26%) reporting the use of this instrument. The next most frequently cited instruments were the instruments used by Coach University with six coaches (22%) reporting the use of these instruments. Finally, the last mostly frequently cited instruments were the Fundamental Interpersonal Relations Orientation-Behavior (FIRO-BTM) (Hammer & Schnell, 2000) and California Personality Inventory (CPI) (Gough & Bradley, 1994) with each having five coaches (19%) reporting use of these instruments.

Additionally, the ECDQ asked coaches to list the professional associations and memberships they maintained as well as any licenses held. All but one coach listed at least one professional association or membership. On average, coaches identified three professional associations or memberships. The most commonly identified membership was with The International Coach Federation (ICF) with eighteen coaches (67%) reporting ICF memberships. The next most frequently identified associations were the American Society for Training and Development (ASTD) and Coach University with five coaches (19%) reporting memberships in each of these organizations. Other organizations or memberships mentioned more than once were with city or state coaching associations, local chambers of commerce, and the Professional Coaches Mentoring Association (PCMA) with three coaches (11%) reporting membership with each of these organizations. Regarding licensure, eight coaches (30%) did not list any licensure, five (19%) reported being certified as masters certified coaches from the ICF, three (11%) reported being graduates or students of Coach University, two (7%) reported being licensed professional counselors, one (4%) reported being a licensed psychologist, three (11%) reported other coaching certificates, and four (15%) listed other professional licensures (registered nursing license, license to practice medicine, nursing home administrator license, and teaching certificate).

Seven coaches (26%) also responded to a request for brochure information more fully describing their services. Some other coaches listed their websites as a resource for additional information on their services. The researcher reviewed

brochures to determine common themes relevant to this study (websites were not reviewed). Four relevant themes were identified: (1) the definition of coaching or definition of a coach, (2) the purpose or end results of coaching, (3) the process of coaching, and (4) coaching clientele. Interestingly, three brochures identified the coach's or coaching organizations services as "coaching," two as "executive coaching," one as "leadership coaching," and one as "business coaching."

The following definitions of coaching were provided in the brochure information. "Coaching is a professional client-centered relationship that expands your capacity to achieve goals and bring about real change . . ." and "Coaching is a newer profession, which has synthesized the best from psychology, business, evolution, philosophy, spirituality and finance to benefit the entrepreneur, professional and business owner." The following definitions of coaches were provided. Coaches

show people how to set better goals [and] then help them to reach these goals. They insist that their clients do more than they would have done on their own. They keep their clients focused to more quickly produce results. In effect, they provide the tools, support and structure to accomplish more, sooner.

A coach is a "trained professional who listens in a very special way . . . keeps you focused on the bigger picture, and helps you to develop personally and professionally while producing/attracting more satisfying results."

The brochure information contained a myriad of purposes for coaching. Some of the proposed purposes include: the expansion of leadership ability, developing new skills and ways of doing things, "exceeding" one's most challenging goals, staying focused, enhancing one's "bottom line," becoming more effective, producing better

results, “overcoming barriers” to performance and success. And, improving company morale and culture as well as employee retention and satisfaction.

The process of coaching was described as occurring during “regular, weekly sessions” either by telephone or in person. Typically, clients were described as determining the agenda or in one instance, a coach identified a structure for the weekly coaching sessions. A couple of brochures mentioned giving homework to clients for them to work on in-between sessions. One brochure mentioned the fact that clients pay for or initiate the call, during the scheduled time. A couple of brochures outlined the initial interview and assessment process used to determine client needs and goals.

Coaching clientele was described in a few different ways. Brochures described the type of people who might benefit or seek executive coaching (e.g., leaders within organizations or anyone who wants to make performance changes) as well as the types of clients served (e.g., small business owners to CEOs). Some brochures also listed specific client organizations served. Testimonials of clients were also included in some of the brochure information (see Table 2 for coach demographic data).

Client Demographic Information

Client demographic information was examined for statistically significant differences between the pre/early-coaching group and the post/late-coaching group by conducting one-way ANOVA or chi-square analyses. In most cases, no differences existed. The ANOVA assumptions of independence of observations, homogeneity of

Table 2

Frequencies and Percentages of Age, Gender, Race-Ethnicity, Educational Level, Years Work Experience, Years Coaching Experience, Current Employment Setting, Coaching Orientation, and Length of Coaching Interventions of Coaches

Demographic Variable	Coaches	
	Frequency	Percentage
Gender		
Female	13	48
Male	14	52
Race-Ethnicity		
African American	0	0
Caucasian	27 ^a	100
Asian	0	0
Hispanic/Latino(a)	0	0
Education Level		
Two-year	2	7
Bachelor's	8	30
Master's	11	41
Doctoral	5	19
M.D.	1	3
Employment Setting		
Independent Practice	16	59
Small	7	26
Large	1	4
Missing	3	11
Coaching Orientation		
Behavioral	10	34
Psychodynamic	1	3
Both	5	17
Neither ^b	8	28
Missing	5	17
	Mean	SD
Age	49.26	4.56
Work Experience	25.19	7.90
Coaching Experience	7.38	6.36
Length of Coaching	8.73 ^c	3.74

^a $n = 27$. Fourteen coaches did not return AP/ECDQ but still invited client participation.

^b 5 ECDQ did not have this question listed because it was an earlier version of the form

^c Reported in months.

variance ($p < .05$), and normality were met ($p < .05$). However, the chi-square assumption regarding sample size and need for each cell to have a frequency of 5 (Howell, 1997) was violated for all variables except gender. Even so, Howell states that this assumption is often violated and is less of a concern than power with small sample sizes.

Regarding the results of the ANOVA and chi-square analyses, one statistically significant difference was found between the pre/early-coaching group and the post/late-coaching group. A chi-square revealed a statistically significant difference between the pre/early-coaching group and post/late-coaching group on level within organization ($p < .03$). In examining the data, level of organization was fairly equally distributed among all organizational levels within the pre/early-coaching group, whereas, in the post/late-coaching group, there were more individuals in upper management positions. Therefore, this demographic variable will be discussed separately for the pre/early-coaching and post/late-coaching groups. All other demographic variables will be discussed together for the overall client group.

The average age of client participants was 42.58 years ($SD = 8.39$). Twenty-five clients (50%) were female; 25 (50%) were male. Thirty-five clients (90%) were Caucasian and 4 (8%) were non-White (1 African-American, 2 Asian, 1 Hispanic). One client (2%) did not indicate race/ethnicity. Eighteen clients (36%) had earned a bachelor's degree, 19 (38%) a masters degree, 4 (8%) a Ph.D., 8 (16%) marked "other," and 1 (2%) did not report educational level. Within the "other" classification, 3 clients (6%) had earned a high school diploma, 1 (2%) had earned an associate of

nursing degree, and 3 (6%) had earned a medical degree. As a whole, client participants averaged 20.68 years of work experience ($SD = 6.86$), 12.04 years of experience in leadership roles ($SD = 6.50$), and 3.77 years in their current positions (5.92). Three clients (23%) in the pre/early-coaching group were in lower management positions, 3 (23%) were in middle management positions, 2 (15%) were in upper management positions, 3 (23%) were in CEO or president positions, and 2 (15%) were in “other” positions. In contrast, zero clients (0%) in the post/late-coaching group were in lower management positions, 6 (16%) were in middle management positions, 15 (41%) were in upper management positions, 10 (27%) were in CEO or president positions, 4 (11%) were in “other” positions, and 2 (5%) did not respond to the question about organizational level. Regarding referral for executive coaching services, 10 clients (20%) were self-referred while 39 (78%) were other-referred, and 2 (2%) did not report a referral source (see Table 3).

Client participants were also asked four open-ended questions on the CDQ. They were asked: (1) how they found out about executive coaching or who referred them for executive coaching services, (2) what their goals for coaching were and if finished were their goals met, (3) what was or what was expected to be most helpful about their executive coaching experience, and (4) what was or what was expected to be least helpful about their executive coaching experience. The researcher reviewed these responses to determine common themes. A summary of client responses and themes is provided below.

Table 3

Frequencies and Percentages of Age, Gender, Race-Ethnicity, Degree, Years of Work Experience, Years in Leadership Role, Years in Current Position, Organizational Level, and Type of Company for Clients

Demographic Variable	Pre/Early Coaching		Post/Later Coaching		w	Power
	Frequency	%	Frequency	%		
Gender					.10	.14
Female	5	38	20	54		
Male	8	62	17	46		
Race-Ethnicity					.20	.37
White	10	77	33	89		
Non-White	2	15	2	5		
Education Level					.10	.09
Bachelor's	5	42	13	36		
Master's	5	42	18	50		
Doctoral	1	8	2	5		
Other	1	8	3	8		
Type Company					.30	.33
Business	8	61	14	38		
Industry	2	15	2	5		
Government	1	8	2	5		
Other	2	15	19	51		
Organizational Level					.30	.46
Lower Mngmnt	3	23	0	0		
Middle Mngmnt	3	23	8	22		
Upper Mngmnt	2	15	15	41		
CEO or Pres.	3	23	10	27		
Other	2	23	4	11		
Referral					.10	.03
Self	3	23	7	19		
Other	10	77	29	81		

Table 3—Continued

Demographic Variable	Mean	SD	Mean	SD	Eta ^a Sq. ^b	Power
Age	38.7	5.99	44.14	9.04	.078	.61
Work Experience	18.62	6.86	21.41	8.12	.030	.32
Leadership Role	8.85	6.50	13.19	7.64	.075	.60
Current Position	2.11	1.76	4.37	5.92	.043	.41

Note. $n = 12$ or 13 for pre/early-coaching and $36-37$ for post/late-coaching due to missing data.

^a Effect-size (w) and power based on tables in *Statistical Power Analysis for the Behavioral Sciences* (Cohen, 1988).

^b Eta squared values of .01, .06, .14 represent small, medium, and large effect sizes, respectively (Green, Salkind, & Akey, 2000).

* $p \leq .05$.

Regarding referral source, 10 clients reported being self-referred, whereas 39 reported being other-referred. When self-referred, clients identified a number of sources for finding executive coaches. The most frequently mentioned source was magazine articles mentioned by 5 clients (50%). Additional sources mentioned by one client were: courses taken (10%), colleagues (10%), friends (10%), and National Public Radio (10%). One client mentioned “searching” for a coach but did not identify how he or she went about this search. When other-referred, the majority of clients listed supervisors or internal professional development programs as being responsible for their getting involved in executive coaching ($n = 24$, 60%). Other frequently mentioned referral sources included: coaches ($n = 10$, 25%), friends ($n = 5$, 13%), and colleagues ($n = 2$, 5%). Some of the reasons individually identified by clients for

being referred for executive coaching included: relationship difficulties, rapidly changing work environments, personal difficulties interfering with work, executive coaching being a positive experience for others in the organization, and strengthening ability to move forward and make leadership decisions.

The goals clients identified seemed to cluster around eight main themes:

(1) leadership, (2) increased self-awareness/development, (3) goal orientation/future direction, (4) prioritizing, (5) specific actions, (6) communication, (7) balance, and (8) relationships. Although these eight themes are not completely distinct, they are presented separately because of the way client statements seemed to cluster. The first theme dealt with leadership. Clients made statements about wanting to “develop a leadership style,” “enhance my leadership ability,” “improve leadership skills,” “improve overall leadership effectiveness,” “adapt my leadership style to be more collaborative and enrolling,” and “become a leader.” Clients also talked about wanting to “increase other[s]’ self-confidence” and “help others be the best they can be.” The second theme was increased self-awareness and professional and personal development. Clients listed goals such as wanting to “heighten awareness,” “assess my skills,” “explore personal/professional development issues,” get “feedback regarding style improvement,” “find a deeper meaning in my work,” and “wake up excited to have a new day.” The third theme was maintaining a goal orientation or future direction. Clients identified wanting to “focus on personal and corporate goals, “refocus my goals in life and my job to be a more effective employee,” “develop a roadmap for future success,” “figure out path for next steps,” and “achieve a senior

position.” The fourth theme was prioritizing. Clients identified desires to “reorganize my priorities in life,” “keep focused on the most important things,” “do important things first,” and “set priorities.” The fifth theme was specific actions. Clients identified wanting to “set limits,” “see projects to completion,” “be more efficient,” “get beyond crisis situation[s] at work,” “learn to take initiative and push forward with my decisions,” “negotiate to win-win,” “delegate better,” “improve service to others,” and work on “team building.” The sixth theme was communication skills. Clients indicated a desire to “enhance communication skills” and “become a better listener, [and] communicator.” The seventh theme was balance. Clients identified wanting to “balance personal-business life” and attain “work-life balance.” The eighth theme dealt with relationships. Clients identified wanting to “improve personal/professional relationships, and “look at my skills and methods for working with peers.”

Regarding whether or not clients’ goals were met, many wrote “yes” goals were met or implied that goals were met based on what they identified as goals and what they listed as the most helpful aspects of coaching. Some clients did not say whether goals were met. Many clients were still receiving executive coaching services. Some clients indicated that their goals were “in progress.” Within each group specifically, 2 of pre/early-coaching clients (15%) stated or implied that their goals were met, whereas 24 post/late-coaching clients (65%) stated or implied that their goals were met.

Regarding what was most helpful, client responses seemed to cluster around six themes: (1) self-awareness/development, (2) performance/outcomes, (3) different perspective, (4) objective person, (5) feedback/support, and (6) relationships. Again, these themes are not mutually exclusive. With respect to self-awareness/development, one client stated that coaching helped her

get perspective (about) myself and how I fit in the organizational dynamics, how do I function vis-à-vis others, my psychological profile vs. the norm. The coaching experience helped me navigate an extremely difficult period in a much more authentic way than I would have on my own, and helped me find my next steps in a more honest and confident way.

Other clients stated that executive coaching helped them “know who I am, why I respond the way I do and how to modify those responses,” “learn new things about myself, pick up positive tools,” “remember to take time and listen to [my]self,” “focus on personal development,” and “improve on weaknesses, improve perspective.” With respect to performance/outcomes, clients said that the most helpful thing about executive coaching was that it helped them “be more productive,” “improve effectiveness,” “accomplish [things] with more ease,” learn to be focused and learn to communicate effectively what I need and how to accomplish it with more ease,” “manage my time better and to learn that it’s okay to say ‘no’ sometimes,” gain “focus,” “articulate and formulate what I think in [a] very simple fashion,” “move towards a coaching management style,” “help people grow,” “change the organization,” “develop leadership skills and [a] unique leadership style,” and “adapt my leadership style.” With respect to gaining different perspectives, clients said that the most helpful thing about executive coaching was “getting me to look at problems

and everyday life in a different way,” learning “how to look at problems/opportunities from all sides and all points of view,” gaining “different perspectives to my every day problems,” and the “perspectives I receive from my coach.” With respect to the objective person of the coach, clients said that one of the most helpful things about coaching was “hav[ing] someone to discuss business matters who can stay objective—an appropriate person, there is no risk with my coach,” “someone to reflect ideas off of,” “ability to discuss what I feel/want to do/current issues without management judging or using those things against me,” “one-on-one ability to discuss strengths/weaknesses with a 3rd party outside of the ‘office politics,’” and gaining an “outside opinion.” With respect to feedback and support, clients stated that it was most helpful to receive “positive and negative feedback,” get “performance feedback,” gain “support,” “encouragement,” and “affirmations.” Finally, with respect to relationships, clients identified a “raised awareness regarding relationships,” “my ability to focus and be able to grow my relationships with other co-workers,” and gaining “more insight re: my colleagues and what makes them tick” as the most helpful things about their executive coaching experience.

Regarding what was least helpful, the majority of clients said that nothing was least helpful or they left this item blank. Clients who identified least helpful things mentioned things that seemed to cluster around three themes: something about the coach, something about themselves, or things external to the coach or themselves. Regarding the coach, one client wrote that “sometimes they talk about the exact same things/questions I have already answered and it seems as if they have forgotten the

last conversation.” Other clients mentioned things such as “discover[ing] something about myself that I already know,” and my coach “not [being] aware of previous work and personal history,” and “often tends to be somewhat psychoanalytical,” “‘whole-life’ planning,” and “industry specific solutions.” Regarding external things being least helpful, clients identified the “time requirements of coaching and assignments,” “the expense, makes it more difficult to see a coach very often,” “the ever-increasing need to be viewed as an intelligent and strategic partner in the company,” and the “fact that it [executive coaching] is called coaching and is not yet particularly common or well recognized/well accepted activity.” Regarding themselves, clients mentioned that the least helpful thing about their executive coaching experience was “when I am not creating value from it” and “my stubbornness to change and advice.”

Hypothesis Testing

In this study four hypotheses were examined:

1. Executive coaching increases transformational leadership as measured by the MLQ 5x (Short Form).
2. Executive coaching increases active transactional leadership and decreases passive transactional leadership as measured by the MLQ 5x (Short Form).
3. Executive coaching decreases non-leadership as measured by the MLQ 5x (Short Form).

4. Executive coaching increases outcome variables as measured by the MLQ 5x (Short Form).

Due to a small sample size, an alpha level of .10 was set for all hypotheses testing which balanced power and Type II error with Type I error. Descriptive data for the MLQ 5x (Short Form) is reported in Table 4. Pearson's r correlation coefficients for the MLQ 5x (Short Form) are presented in Table 5. Inferential statistics concerning the four hypotheses are reported in the following sections (see Tables 6–19).

Transformational Leadership: (Hypothesis 1)

In order to test the hypothesis that executive coaching increases transformational leadership, a two-way multivariate analysis of variance (MANOVA) was conducted to determine the effects of executive coaching condition (pre/early-coaching vs. post/late-coaching) and rater (client vs. direct-report/peer) on the five transformational variables measured on the MLQ 5x (Short Form): Idealized Influence–Attributed (IIA), Idealized Influence–Behavioral (IIB), Inspirational Motivation (IM), Intellectual Stimulation (IS), and Individual Consideration (IC). Before the MANOVA was completed, a Bartlett test of sphericity was conducted to ensure that the transformational variables were correlated. The result of the Bartlett test was statistically significant ($p < .001$) indicating that the transformational variables were in fact correlated. The data were also checked for meeting the assumptions of homogeneity of variance and normality. One violation occurred on the

Table 4

**Means, Standard Deviations, and Ranges for the MLQ 5x (Short Form)
for Clients and Direct-Reports/Peers by Coaching Condition**

Variable	Mean	SD	Range
Idealized Influence–Attributed			
Total Client	3.04	.44	2.25–4.00
Pre/Early-Coaching	2.86	.46	2.25–3.50
Post/Later-Coaching	3.13	.40	2.25–4.00
Total Direct-Report/Peer	3.25	.69	1.13–4.00
Pre/Early-Coaching	3.39	.50	2.75–4.00
Post/Later-Coaching	3.17	.77	1.13–4.00
Idealized Influence–Behavior			
Total Client	3.22	.51	1.75–4.00
Pre/Early-Coaching	3.06	.54	1.75–4.00
Post/Later-Coaching	3.30	.48	2.25–4.00
Total Direct-Report/Peer	3.14	.84	.63–4.00
Pre/Early-Coaching	3.13	.86	.75–4.00
Post/Later-Coaching	3.14	.85	.63–4.00
Inspirational Motivation			
Total Client	3.30	.55	1.75–4.00
Pre/Early-Coaching	3.09	.66	1.75–3.75
Post/Later-Coaching	3.41	.45	2.50–4.00
Total Direct-Report/Peer	2.98	.76	1.25–4.00
Pre/Early-Coaching	2.91	.37	1.75–4.00
Post/Later-Coaching	3.01	.78	1.25–4.00
Intellectual Stimulation			
Total Client	3.11	.56	1.25–4.00
Pre/Early-Coaching	3.03	.63	1.25–4.00
Post/Later-Coaching	3.15	.53	2.25–4.00
Total Direct-Report/Peer	2.96	.56	1.63–3.88
Pre/Early-Coaching	3.05	.37	2.50–3.75
Post/Later-Coaching	2.92	.64	1.63–3.88

Table 4—Continued

Variable	Mean	SD	Range
Individual Consideration			
Total Client	3.22	.52	1.75–4.00
Pre/Early-Coaching	3.08	.56	1.75–4.00
Post/Later-Coaching	3.30	.49	2.25–4.00
Total Direct-Report/Peer	3.24	.67	1.75–4.00
Pre/Early-Coaching	3.20	.54	2.25–4.00
Post/Later-Coaching	3.27	.74	1.75–4.00
Contingent Reward			
Total Client	3.15	.48	2.00–4.00
Pre/Early-Coaching	3.22	.38	2.75–3.75
Post/Later-Coaching	3.11	.53	2.00–4.00
Total Direct-Report/Peer	3.14	.65	.88–4.00
Pre/Early-Coaching	3.14	.50	2.25–3.75
Post/Later-Coaching	3.14	.73	.88–4.00
Management-by-Exception (Active)			
Total Client	1.68	.83	.00–3.50
Pre/Early-Coaching	1.52	.74	.00–3.00
Post/Later-Coaching	1.76	.87	.50–3.50
Total Direct-Report/Peer	1.77	.99	.00–3.50
Pre/Early-Coaching	1.55	1.17	.00–3.50
Post/Later-Coaching	1.89	.88	.25–3.33
Laissez-faire			
Total Client	.75	.58	.00–2.50
Pre/Early-Coaching	.75	.65	.00–2.50
Post/Later-Coaching	.75	.55	.00–2.00
Total Direct-Report/Peer	.77	.68	.00–2.50
Pre/Early-Coaching	.79	.75	.00–2.50
Post/Later-Coaching	.77	.66	.00–2.25
Extra Effort			
Total Client	3.13	.63	1.33–4.00
Pre/Early-Coaching	3.06	.80	1.33–4.00
Post/Later-Coaching	3.17	.54	1.67–4.00
Total Direct-Report/Peer	3.11	.71	1.43–4.00
Pre/Early-Coaching	2.99	.81	1.43–4.00
Post/Later-Coaching	3.17	.66	1.67–4.00

Table 4—Continued

Variable	Mean	SD	Range
Effectiveness			
Total Client	3.15	.64	.75–4.00
Pre/Early-Coaching	3.15	.81	.75–4.00
Post/Later-Coaching	3.15	.56	2.25–4.00
Total Direct-Report/Peer	3.29	.64	1.25–4.00
Pre/Early-Coaching	3.32	.54	2.25–4.00
Post/Later-Coaching	3.28	.69	1.25–4.00
Satisfaction			
Total Client	3.20	.63	1.50–4.00
Pre/Early-Coaching	3.01	.73	1.50–4.00
Post/Later-Coaching	3.30	.56	2.00–4.00
Total Direct-Report/Peer	3.07	.77	1.17–4.00
Pre/Early-Coaching	3.06	.64	1.67–4.00
Post/Later-Coaching	3.08	.85	1.17–4.00

Note. MLQ 5x Scores of (0) = not at all, (1) = once in awhile, (2) = sometimes, (3) = fairly often, and (4) = frequently, if not always.

IM variable for normality ($p < .05$). Departures from normality typically have minor effects on the results; however, they may affect power (Bray & Maxwell, 1992).

Departures from normality can also effect the Box M homogeneity of variance test as this test is sensitive to departures of normality. If the Box M is statistically significant, it may be a result of departures from normality versus heterogeneous variances

(Stevens, 1992). The Box M test was not statistically significant for this MANOVA.

The Pillai's MANOVA statistic was the statistic of choice because it has been found to be the most robust to violations of assumptions (Bray & Maxwell, 1985).

The results of the MANOVA yielded a nonstatistically significant interaction by

Table 5

Pearson's *r* Correlation Coefficients for MLQ 5x (Short Form)

	1	2	3	4	5	6	7	8	9	10	11	12
1	1.00											
2	.65**	1.00										
3	.67**	.57**	1.00									
4	.61**	.73**	.62**	1.00								
5	.70**	.58**	.61**	.63**	1.00							
6	.61**	.56**	.65**	.56**	.67**	1.00						
7	.07	.11	-.07	-.07	-.05	.07	1.00					
8	-.34**	-.41**	-.26**	-.36**	-.45**	-.25**	.17	1.00				
9	-.30**	-.49**	-.01	-.45**	-.51**	-.34**	-.45**	-.25**	1.00			
10	.62**	.44**	.70**	.51**	.62**	.50**	.08	.36*	-.01	1.00		
11	.73**	.61**	.66**	.53**	.67**	.62**	-.12	-.43**	-.49**	.67**	1.00	
12	.65**	.65**	.49**	.66**	.48**	.72**	.60**	.53**	-.33**	.07	-.35**	1.00

Note. 1 = Idealized Influence (Attributed); 2 = Idealized Influence (Behavior); 3 = Inspirational Motivation; 4 = Intellectual Stimulation; 5 = Individual Consideration; 6 = Contingent Reward; 7 = Management-by-Exception (Active); 8 = Management-by-Exception (Passive); 9 = Laissez-faire; 10 = Extra Effort; 11 = Effectiveness; 12 = Satisfaction.

* $p \leq .05$, ** $p \leq .01$.

coaching condition and rater ($p \geq .10$) and a nonstatistically significant difference between executive coaching conditions (pre/early-coaching vs. post/later-coaching) ($p \geq .10$). The results revealed a statistically significant difference between raters (client vs. direct-report/peer) ($p \leq .000$) (see Table 6).

Table 6
MANOVA Results for Five Transformational Variables

Effect	Value	<i>F</i>	Hypothesis <i>df</i>	Error <i>df</i>	<i>p</i>	Eta Sq.	Power
Coaching by Rater							
Pillais	.063	1.059	5	78	.389	.064	.49
Hotellings	.067	1.059	5	78	.389	.064	.49
Wilks	.936	1.059	5	78	.389	.064	.49
Roys	.063						
Coaching							
Pillais	.045	.742	5	78	.594	.045	.37
Hotellings	.047	.742	5	78	.594	.045	.37
Wilks	.954	.742	5	78	.594	.045	.37
Roys	.045						
Rater							
Pillais	.294	6.525	5	78	.000*	.295	1.00
Hotellings	.418	6.525	5	78	.000*	.295	1.00
Wilks	.705	6.525	5	78	.000	.295	1.00
Roys	.294						

Note. Box M: 58.79, $p = .267$.

Kolmogorov-Smirnov Goodness of Fit test (normality): IIA ($p > .10$); IIB ($p > .05$); IC ($p > .10$); IM ($p < .05$)*; IS ($p > .05$).

* $p \leq .10$.

Because the MANOVA results were significant for rater, analyses of variance (ANOVA) on each dependent variable were conducted as follow-up tests to reveal

which transformational variable(s) were responsible for this difference. To control for Type 1 error, Green et al. (2000) suggest an alternative approach to using the traditional Bonferonni method. They suggest conducting individual ANOVA analyses at the same alpha level only when the MANOVA is significant and conducting follow-ups on the ANOVA at the same alpha level when one ANOVA is significant. When more than one ANOVA is significant, then they suggest using the Bonferroni approach to control for Type 1 error. Due to concerns about power, the above approach was used in the present analyses.

The first ANOVA tested whether the transformational variable of Idealized Influence (Attributed) or IIA differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before conducting the ANOVA, the data were checked for meeting the assumptions of normality and homogeneity of variance. The data violated the homogeneity of variance assumption, ($p \leq .05$). As a result, the data were transformed; however, the transformations did not correct for the violation ($p \leq .05$). Therefore, the nontransformed data were used in the analysis. Because of the violation, the ANOVA test statistic is considered more conservative since the smaller sample in the present study was drawn from the less variable population (Stevens, 1992). The results of this ANOVA revealed a statistically significant interaction by rater and coaching condition ($p \leq .085$), a nonstatistically significant main effect by coaching conditions (pre vs. later) ($p \geq .80$), and a statistically significant main effect by raters (client vs. direct-report/peer) ($p \leq .028$) (see Figure 1 and Table 7).

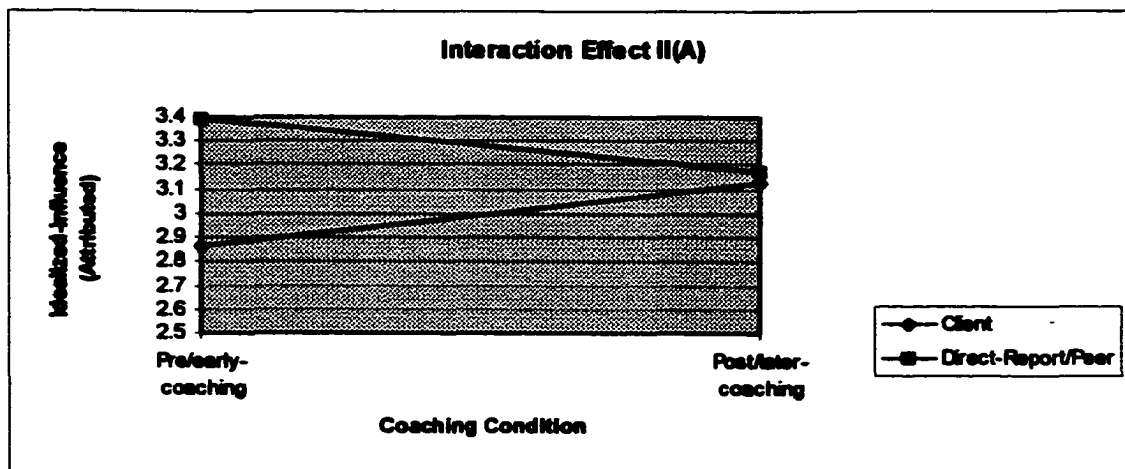


Figure 1. Interaction Effect–Idealized Influence (Attributed).

Table 7

ANOVA Results for Idealized Influence–Attributed

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	25.40	82	.31				
Main Effect (Coaching)	.76	1	.02	.807	.807	.001	.134
Main Effect (Rater)	1.55	1	1.55	.028*	.028*	.058	.713
Int. (Coaching × Rater)	.94	1	.94	.085*	.085*	.036	.531

Note. Cochran = .45389**; Kolmogorov-Smirnov = 1.0985.

* $p \leq .10$; ** $p \leq .05$.

Because the interaction between coaching condition and rater was significant, the rater main effects were ignored and instead the simple main effects were examined. Simple main effects provide separate information concerning the difference among raters (clients vs. direct-reports/peers) for the pre/early-coaching condition and the post/late-coaching condition. The results revealed a nonstatistically significant difference between raters (client vs. direct-report/peer) for the post/late-coaching conditions, ($p \geq .10$), and between coaching conditions (pre/early-coaching vs. post/late-coaching) for direct-reports/peers, ($p \geq .10$). However, there were statistically significant differences for raters (client vs. direct-report/peer) for the pre/early-coaching condition, ($p \leq .05$) and between coaching conditions (pre/early vs. post/late-coaching) for clients ($p \leq .05$). In examining the means between raters, direct-reports/peers had higher ratings on Idealized Influence (Attributed) ($X = 3.39$) than clients in the control condition ($X = 2.86$). In examining the means between coaching conditions, post/late-coaching clients rated themselves higher on IIA ($X = 3.13$) than pre/early-coaching clients ($X = 2.86$) (see Tables 8–11).

A second ANOVA investigated whether the transformational variable of Idealized Influence (Behavior) or IIB differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before this ANOVA was conducted, the data were checked for meeting the assumptions of normality and homogeneity of variance. The data violated the assumption of normality; however, Howell (1997) states that ANOVA analyses are very robust to violations of normality; therefore, the results were expected to be trustworthy.

Table 8

**Simple Main Effects Results—Idealized Influence—Attributed
Post/Later-Coaching (Clients Vs. Direct-Reports/Peers)**

	SS	df	MS	F	p	Eta Sq.	Power
Between Groups	.0615	1	.0615	.1815	.67	.003	.181
Within Groups	19.3241	57	.3390				
Total	19.3856	58					

* $p \leq .10$.

Table 9

**Simple Main Effects Results—Idealized Influence—Attributed
Pre/Early-Coaching (Clients Vs. Direct-Reports/Peers)**

	SS	df	MS	F	p	Eta Sq.	Power
Between Groups	1.7761	1	1.7761	7.304	.01*	.226	.835
Within Groups	6.0788	57	.3390				
Total	7.8549	58					

* $p \leq .10$.

The results of this ANOVA revealed a nonstatistically significant interaction by condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre/early-coaching vs. post/late-coaching) ($p \geq .10$), and a nonstatistically main effect by raters (direct-report/peer) ($p \geq .10$) (see Table 12).

Table 10

**Simple Main Effects Results—Idealized Influence—Attributed
Client (Pre/Early-Coaching Vs. Post/Later-Coaching)**

	SS	<i>df</i>	MS	<i>F</i>	<i>p</i>	Eta Sq.	Power
Between Groups	.7245	1	.7245	4.0696	.04*	.081	.630
Within Groups	8.1896	46	.1780				
Total	7.8549	47					

* $p \leq .10$.

Table 11

**Simple Main Effects Results—Idealized Influence—Attributed Direct-Report/Peer
(Pre/Early-Coaching Vs. Post/Later-Coaching)**

	SS	<i>df</i>	MS	<i>F</i>	<i>p</i>	Eta Sq.	Power
Between Groups	.0615	1	.0615	.1815	.67	.003	.181
Within Groups	19.3241	57	.3390				
Total	19.3856	58					

* $p \leq .10$

A third ANOVA investigated whether the transformational variable of Individual Consideration (IC) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before the ANOVA was conducted, the data were checked for meeting the assumptions of normality and

Table 12
ANOVA Results for Idealized Influence–Behavior

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	37.25	82	.45				
Main Effect (Coaching)	.76	1	.76	1.66	.201	.020	.356
Main Effect (Rater)	.11	1	.11	.24	.627	.003	.217
Int. (Coaching × Rater)	.03	1	.03	.06	.814	.001	.133

Note. Cochran = .39805; Kolmogorov-Smirnov = 1.5671.

* $p \leq .10$.

homogeneity of variance. Assumptions were met. The results revealed a nonstatistically significant interaction by condition and rater ($p \geq .10$), nonstatistically significant main effect by coaching conditions (pre/early-coaching vs. post/later-coaching) ($p \geq .10$), and a nonstatistically main effect by raters (direct-report/peer) ($p \geq .10$) (see Table 13).

A fourth ANOVA investigated whether the transformational variable of Inspirational Motivation (IM) differed by coaching condition (pre/early-coaching vs. post/later-coaching) and by rater (client vs. direct-report/peer). Before the ANOVA was conducted, the data were checked for meeting the assumptions of normality and homogeneity of variance. The data violated the normality assumption; however,

Table 13
ANOVA Results for Individual Consideration

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	28.48	82	.35				
Main Effect (Coaching)	.38	1	.38	1.09	.300	0.13	.274
Main Effect (Rater)	.03	1	.03	.09	.768	.001	.143
Int. (Coaching × Rater)	.10	1	.10	.28	.595	.003	.250

Note. Cochran = .38083; Kolmogorov-Smirnov = 1.2043.
* $p \leq .10$.

Howell (1997) states that ANOVA analyses are very robust to violations of normality; therefore, the results were expected to be trustworthy.

The results of this ANOVA revealed a nonstatistically significant interaction by condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre/early-coaching vs. post/late-coaching) ($p \geq .10$) and a nonstatistically main effect by raters (direct-report/peer) ($p \leq .10$) (see Table 14).

A fifth ANOVA investigated whether the transformational variable of Intellectual Stimulation (IS) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before the ANOVA was conducted, the data were checked for meeting the assumptions of normality and homogeneity of variance. The assumptions were met. The results of this ANOVA

Table 14
ANOVA Results for Inspirational Motivation

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	34.41	82	.45				
Main Effect (Coaching)	.21	1	.21	.50	.481	.006	.353
Main Effect (Rater)	1.15	1	1.15	2.75	.101	.032	.497
Int. (Coaching × Rater)	.75	1	.75	1.80	.184	.021	.376

Note. Cochran = .334410; Kolmogorov-Smirnov = 1.4772**.
 * $p \leq .10$; ** $p \leq .05$.

revealed a nonstatistically significant interaction by condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre/early-coaching vs. post/later-coaching) ($p \geq .10$), and a nonstatistically main effect by raters (direct-report/peer) ($p \geq .10$) (see Table 15).

Transactional Leadership: (Hypothesis 2)

In order to test the hypothesis that executive coaching increases active transactional leadership and decreases passive transactional leadership, a two-way multivariate analysis of variance (MANOVA) was conducted to determine the effects of the executive coaching condition (pre/early-coaching vs. post/later-coaching) and rater (client vs. direct-report/peer) on the three transactional variables measured by

Table 15
ANOVA Results for Intellectual Stimulation

	SS	<i>df</i>	MS	<i>F</i>	<i>p</i>	Eta Sq.	Power
Within+Residual	26.33	82	.32				
Main Effect (Coaching)	.00	1	.00	.00	.960	.000	.356
Main Effect (Rater)	.17	1	.17	.54	.463	.007	.217
Int. (Coaching × Rater)	.28	1	.28	.86	.356	.010	.133

Note. Cochran = .32561; Kolmogorov-Smirnov = 1.3220.
**p* ≤ .10.

the MLQ 5x (Short Form): Contingent Reward (CR); Management-by-Exception, Active (MEA); and Management-by-Exception, Passive (MEP). Before the MANOVA was completed, a Bartlett test of sphericity was conducted to ensure that the transactional variables were correlated. The result of the Bartlett was statistically significant ($p < .05$) indicating that the transactional variables were correlated. The data were also checked for meeting the assumptions of homogeneity of variance and normality. All assumptions were met.

The results of the MANOVA revealed a nonstatistically significant interaction by coaching condition and rater ($p \geq .10$) and a nonstatistically significant difference between raters (client vs. direct-report/peer) ($p \geq .10$). The results revealed a

statistically significant difference between coaching conditions ($p \leq .10$) (see Table 16).

Table 16
MANOVA Results for Three Transactional Variables

Effect	Value	<i>F</i>	Hypothesis <i>df</i>	Error <i>df</i>	<i>p</i>	Eta Sq.	Power
Coaching by Rater							
Pillais	.014	.396	3	80	.756	.015	.21
Hotellings	.014	.396	3	80	.756	.015	.21
Wilks	.985	.396	3	80	.756	.015	.21
Roys	.014						
Coaching							
Pillais	.076	2.20	3	80	.093*	.077	.67
Hotellings	.082	2.20	3	80	.093	.077	.67
Wilks	.923	2.20	3	80	.093	.077	.67
Roys	.076						
Rater							
Pillais	.006	.171	3	80	.915	.006	.15
Hotellings	.006	.171	3	80	.915	.006	.15
Wilks	.993	.171	3	80	.915	.006	.15
Roys	.006						

Note. Box M: 31.29, $p = .053$, $p \leq .05$.

Kolmogorov-Smirnov Goodness of Fit test (normality): CR ($p \geq .05$); MEA ($p \geq .05$); MEP ($p > .05$).

* $p \leq .10$.

Because the MANOVA results were statistically significant for coaching conditions ($p \leq .10$), analyses of variance (ANOVA) were conducted on all transactional variables to determine which variable(s) were responsible for the statistically significant finding.

The first ANOVA investigated whether the transactional variable of Contingent Reward (CR) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before the ANOVA was conducted, the data were tested for the assumptions of normality and homogeneity of variance. The data violated the homogeneity of variance assumption ($p \leq .05$). As a result, the data were transformed; however, the transformations did not correct for the violation ($p \leq .05$). Therefore, the nontransformed data were used. Because of the violation, the ANOVA test statistic is considered more conservative since the smaller sample in the present study was drawn from the less variable population (Stevens, 1992).

Results of this ANOVA revealed a nonstatistically significant interaction between coaching condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre vs. later) ($p \geq .10$) and a nonstatistically significant main effect by raters (client vs. direct-report/peer) ($p \geq .10$) (see Table 17).

A second ANOVA investigated whether the transactional variable of Management-by-Exception (Active) or (MEA) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before the ANOVA was conducted, the data were checked for meeting the assumptions of normality and heterogeneity of variance. The assumptions were met ($p \leq .05$). The results of this ANOVA revealed a nonstatistically significant interaction between coaching condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre vs. later) ($p \geq .10$) and a

Table 17
ANOVA Results for Contingent Reward

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	26.45	82	.32				
Main Effect (Coaching)	.15	1	.15	.47	.495	.006	.353
Main Effect (Rater)	.00	1	.00	.01	.925	.000	.118
Int. (Coaching × Rater)	.01	1	.01	.02	.893	.000	.121

Note. Cochran = .45566, $p = .01^*$; Kolmogorov-Smirnov = .1131.
 $*p \leq .10$.

nonstatistically significant main effect by raters (client vs. direct-report/peer) ($p \geq .10$) (see Table 18).

A third ANOVA investigated whether the transactional variable of Management-by-Exception (Passive) (MEP) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before conducting the ANOVA, the data were checked for meeting the assumptions of normality and homogeneity of variance. The assumptions were met. The results of this ANOVA revealed a nonstatistically significant interaction by coaching condition and rater ($p \geq .10$), a nonstatistically significant main effect by raters (client vs. direct-report/peer) ($p \geq .10$), and a statistically significant main effect by coaching conditions ($p \leq .10$). Examination of the means showed that pre/early

Table 18

ANOVA Results for Management-by-Exception (Active)

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	67.55	82	.82				
Main Effect (Coaching)	.82	1	.82	1.00	.321	.012	.265
Main Effect (Rater)	.17	1	.17	.20	.653	.002	.196
Int. (Coaching × Rater)	.02	1	.02	.03	.868	.000	.124

Note. Cochran = .40618; Kolmogorov-Smirnov = 1.0730, ($p \leq .05$).
* $p \leq .10$.

coaching clients were rated higher on MEP ($X = 1.37-1.60$) than post/late-coaching clients ($X = 1.14-1.23$) (see Table 19).

Non-Leadership: (Hypothesis 3)

In order to test the hypothesis that executive coaching decreases non-leadership an analysis of variance (ANOVA) was conducted to investigate whether the non-leadership variable of Laissez-faire Leadership (LF) differed by coaching condition (pre/early-coaching vs. post/late-coaching) and by rater (client vs. direct-report/peer). Before conducting the ANOVA, the data were checked for meeting the assumptions of normality and homogeneity of variance. The assumptions were met. The results of this ANOVA revealed a nonstatistically significant interaction by

Table 19
ANOVA Results for Management-by-Exception (Passive)

	SS	<i>df</i>	MS	<i>F</i>	<i>p</i>	Eta Sq.	Power
Within+Residual	50.62	82	.62				
Main Effect (Coaching)	2.09	1	2.09	3.38	.070*	.040	.567
Main Effect (Rater)	.24	1	.24	.39	.535	.005	.324
Int. (Coaching × Rater)	.73	1	.73	1.19	.279	.014	.287

Note. Cochran = .34327; Kolmogorov-Smirnov = .8037.
 * $p \leq .10$.

coaching condition and rater ($p \geq .10$), a nonstatistically significant main effect by coaching conditions (pre vs. later) ($p \geq .10$) and nonstatistically significant main effect by raters (client vs. direct-report/peer) ($p \geq .10$) (see Table 20).

Outcome Variables: (Hypothesis 4)

In order to test the hypothesis that executive coaching increases outcome variables as measured by the MLQ 5x (Short Form), a two-way multivariate analysis of variance (MANOVA) was conducted to determine the effects of executive coaching condition (pre/early-coaching vs. post/late-coaching) and rater (client vs. direct-report/peer) on the three outcomes variables: Extra Effort (EE); Effectiveness (EFF); and Satisfaction (SAT). Before the MANOVA was completed, a Bartlett test

Table 20
ANOVA Results for Non-Leadership or Laissez-faire

	SS	df	MS	F	p	Eta Sq.	Power
Within+Residual	32.99	82	.40				
Main Effect (Coaching)	.00	1	.00	.01	.920	.000	.119
Main Effect (Rater)	.01	1	.01	.01	.907	.000	.120
Int. (Coaching × Rater)	.01	1	.01	.01	.907	.000	.120

Note. Cochran = .33119; Kolmogorov-Smirnov = 1.1332.
 * $p \leq .10$.

of sphericity was conducted to ensure that the outcome variables were correlated. The result of the Bartlett was statistically significant ($p \leq .001$) indicating that the outcome variables were correlated. The data were also checked for meeting the assumptions of normality and homogeneity of variance. A violation occurred for normality on EE ($p < .01$). Departures from normality typically have minor effects on the results (Bray & Maxwell, 1985). However, the Box M homogeneity of variance test is sensitive to violations of normality; therefore, a statistically significant Box M may be a result of departures from normality versus heterogeneous variances. The Box M was statistically significant ($p < .05$). However, this statistical significance was attributed to departures in normality since when looking at the variances between

groups, very small differences existed. Therefore, the result of the MANOVA is expected to be trustworthy (Stevens, 1992).

The results of the MANOVA yielded a nonstatistically significant interaction between coaching condition and rater ($p \leq .10$), a nonstatistically significant difference between executive coaching conditions ($p \leq .10$), and a nonstatistically significant difference between raters ($p \leq .10$) (see Table 21). Since the overall MANOVA was nonstatistically significant, follow-up analyses were not conducted.

Table 21
MANOVA Results for Three Outcome Variables

Effect	Value	<i>F</i>	Hypothesis <i>df</i>	Error <i>df</i>	<i>p</i>	Eta Sq.	Power
Coaching by Rater							
Pillais	.0165	.448	3	80	.719	.017	.23
Hotellings	.0168	.448	3	80	.719	.017	.23
Wilks	.9834	.448	3	80	.719	.017	.23
Roys	.0165						
Coaching							
Pillais	.0284	.779	3	80	.509	.028	.32
Hotellings	.0292	.779	3	80	.509	.028	.32
Wilks	.9716	.779	3	80	.509	.028	.32
Roys	.0284						
Rater							
Pillais	.0425	1.18	3	80	.321	.043	.43
Hotellings	.0444	1.18	3	80	.321	.043	.43
Wilks	.9574	1.18	3	80	.321	.043	.43
Roys	.0425						

Note. Box M: 38.21, $p < .05$.

Kolmogorov-Smirnov Goodness of Fit test (normality): EE ($p < .01$)*; MEA ($p > .10$); MEP ($p > .10$).

* $p \leq .10$.

CHAPTER IV

DISCUSSION

The discussion chapter is organized in five sections. The first section provides a brief summary of the entire dissertation. The second section provides a discussion of the results, which includes (a) a discussion of the response rate for this study; (b) an overview of the implications of the results from the demographic questionnaires, ECDQ and CDQ; and (c) a discussion of the research hypotheses as well as a comparison of the present data to normative data for the MLQ. The third section provides a discussion of the implications of the research findings. The fourth discusses the limitations of the study. Finally, the fifth section provides suggestions for future research.

Summary

The first chapter of this dissertation summarized the executive coaching literature and the leadership literature, specifically Bass's transformational leadership literature, to provide a framework for understanding the present study. In reviewing the executive coaching practice-based literature, six themes emerged: (1) definition and standards, (2) purpose, (3) techniques and methodologies, (4) comparison to counseling and therapy, (5) credentials of coaches and ways of finding coaches, and finally, (6) recipients of services. A number of recent practice-based books added to

the above literature by providing more comprehensive discussions of executive coaching practice (Kilburg, 2000; O'Neill, 2000). A classic more general coaching text (Hargrove, 1995) also provided general business coaching principles relevant to executive coaching.

In reviewing the previous existing empirical research on executive coaching (Foster & Lendl, 1996; Garman et al., 2000; Gegner, 1997; Hall et al., 1999; Judge & Cowell, 1997; Laske, 1999b; Olivero et al., 1997), support for a number of points discussed in the practice literature was found. Specifically, executive coaching appears to increase productivity, learning, and job satisfaction (Olivero et al., 1997), result in behavior change (Gegner, 1997), and be experienced positively by executives (Garman, 2000; Gegner, 1997; Hall et al., 1999; Olivero et al., 1997). The previously conducted empirical research also supported the practice-based literature regarding the varied background of executive coaches, while also suggesting that most executive coaches have graduate degrees in either business or social science (Hall et al., 1999; Judge & Cowell, 1997). Prior research also provided support for the notion that coaches use a variety of methods for both developmental and remedial purposes (Judge & Cowell, 1997). One unexpected result from Judge and Cowell (1997) was the finding that professionals other than executives seek executive coaching. In addition, one empirical study (Laske, 1999b) focused on something not often discussed in the practice literature, the developmental level of client and coach. Laske (1999b) found support for the hypothesis that the most appropriate approach to

executive coaching is a developmental approach, which considers both the client's and coach's developmental level.

In reviewing a portion of the leadership literature, two areas of consensus seemed to emerge. One, Bass's (1985) transformational-transactional leadership paradigm and later Avolio and Bass's (1991) Full-Range of Leadership Model were described as one of the most effective forms of leadership (Bass, 1985; Gasper, 1992; Lowe et al., 1996; Patterson et al., 1995). The Full-Range of Leadership Model states that leaders demonstrate transformational, transactional, and non-leadership behaviors to varying degrees, with more effective leaders exhibiting more transformational than transactional, and more transactional than non-leadership behaviors. Empirical research further suggests that transformational leadership can be developed (e.g., ; Barling et al., 1996; Bass & Avolio, 1994b; Crookall, 1989).

The second area of consensus within the leadership literature involves measurement, specifically that subordinate/supervisor/peer evaluations of leadership are the best alternative to examining actual subordinate performance and sometimes better since actual performance is often tainted by external factors (Hogan et al., 1997). The MLQ5x (Short Form), therefore, was considered an appropriate measure of leadership qualities since it can be used to gather subordinate/supervisor/peer evaluations as well as it being the only instrument, known to the researcher, for testing the effects of the Full-Range of Leadership Model.

The present study collected data from 27 executive coaches, 50 executive coaching clients, and 62 direct-report/peers. Coaches completed a brief demographic

questionnaire regarding their background, experiences, and executive coaching practices. Coaches also invited client participation and distributed survey materials to clients. Clients were considered either pre/early-coaching (0–3 months) or post/late-coaching (more than 3 months). Clients completed a brief demographic questionnaire and rated themselves on a leadership instrument (MLQ 5x [Short Form]) that measured transformational, transactional, and non-leadership as well as outcome variables. Clients also invited one or two direct-reports/peers to participate. Direct-report/peers rated clients' leadership abilities using a different version of the same leadership instrument completed by clients.

Client and direct-report/peer ratings on the MLQ 5x (Short Form) were used to test four global hypotheses:

1. Executive coaching increases transformational leadership as measured by the MLQ 5x (Short Form).
2. Executive coaching increases active transactional leadership and decreases passive transactional leadership as measured by the MLQ 5x (Short Form).
3. Executive coaching decreases non-leadership as measured by the MLQ 5x (Short Form).
4. Executive coaching increases outcome variables as measured by the MLQ 5x (Short Form).

Hypotheses 1, 2, and 4 were examined using two-way MANOVA analyses. Hypothesis 3 was examined using a two-way ANOVA. Hypotheses 1 and 2 were

statistically significant, $p \leq .00$ and $p \leq .10$, respectively. Hypotheses 3 and 4 were nonstatistically significant, $p > .10$.

Hypothesis 1 resulted in a statistically significant MANOVA for rater ($p \leq .00$). Follow-up ANOVA analyses on all five transformational variables were conducted to determine which variable(s) was responsible for the difference. ANOVA results indicated a statistically significant interaction between coaching condition (pre/early-coaching) and rater condition (client vs. direct-report/peer) ($p \leq .10$) on Idealized Influence–Attributed. A post-hoc analysis was conducted on the statistically significant interaction effect by ignoring the rater main effect and instead examining the simple main effects.

The results revealed nonstatistically significant differences between rater (client vs. direct-report/peer) for the post/later-coaching condition ($p \geq .10$), and between coaching condition (pre/early-coaching vs. post/later-coaching) for direct-reports/peers ($p \geq .10$). However, there were statistically significant differences between rater (client vs. direct-report/peer) for the pre/early-coaching condition ($p \leq .05$) and between coaching condition (pre/early vs. post/later-coaching) for clients ($p \leq .05$). In examining the means between raters, direct-reports/peers had higher ratings on Idealized Influence–Attributed ($X = 3.39$) than clients in the control condition ($X = 2.86$). In examining the means between coaching conditions, post/later-coaching clients rated themselves higher on IIA ($X = 3.13$) than pre/early-coaching condition ($X = 2.86$).

Hypothesis 2 also resulted in a statistically significant MANOVA for coaching condition ($p \leq .10$). Follow-up ANOVA analyses were again conducted to determine which variable(s) was responsible for the difference. The ANOVA results revealed a statistically significant main effect by coaching condition ($p \leq .10$). Examination of the means showed that pre/early-coaching clients rated higher on MEP ($X = 1.49$) than post/late-coaching clients ($X = 1.19$).

Overall, these analyses suggest that executive coaching has an effect on Idealized Influence–Attributed and Management-by-Exception (Passive) as measured by the MLQ 5x (Short Form). The fact that neither the MANOVA for outcome variables or any other ANOVA analyses were statistically significant suggests that no other differences existed between coaching groups.

Discussion of Results

This section is organized in the following way. First, a discussion regarding the response rate of the current study is provided. Second, a discussion of the ECDQ and CDQ data is provided along with the implications of this data. Third, each hypothesis is reviewed and discussed, then compared to MLQ normative data.

Response Rate

A true response rate for this study is difficult to calculate. Three distinct groups of individuals participated: (1) executive coaches, (2) clients, and (3) direct-reports/peers. All three groups of participants' response rates are meaningful for

different reasons. Coach participants are important because this study is about executive coaching; therefore, who is providing the coaching is critical. Client participants are important because it is their leadership that is being measured to determine whether executive coaching has an impact on leadership. Finally, direct-report/peer participants are important because they have been found to provide better measures of leadership than self-measures (Hogan et al., 1994).

In the present study, executive coach participants had the lowest response rate with only 2% of coaches invited agreeing to participate and is based on the invitations that the researcher could track. In some instances, invitations were forwarded from coaches without the researcher being able to calculate the number of coaches the forwarded invitation reached. Therefore, in actuality, the response rate from coaches is probably less than 2%. Baruch (1999) suggests that a response rate lower than 10% “rarely provides a full set of data” (p. 422). In the event that the response rate is low, he recommends fully explaining the possible conditions under which it occurred.

This low response rate of coaches may be attributed to a few things. First, through personal conversations with coaches, it appeared that many coaches were concerned about asking their clients to participate in a research study for a number of reasons: (a) a fear of breaching confidentiality, (b) a discomfort in asking clients to do anything additional, and (c) a concern about threatening the relationship by introducing an outside variable. These reasons seem consistent with the difficulties researchers encountered when first conducting research on counseling/therapy outcomes. It is also reasonable to assume that coaches may have felt uncomfortable

having their work researched. In fact, it is possible that only those coaches who were comfortable with their coaching practice participated. The most comfortable coaches may equate to the most experienced and competent coaches.

It is just as difficult to calculate a true response rate for clients because it is unknown whether all 194 clients identified as potential participants were invited by coaches, particularly when eight coaches had no research packets returned. Including these eight coaches, a 26.8% response rate from clients was calculated. Excluding these eight coaches, a 36.6% response rate was calculated. So, what does this response rate mean?

According to Baruch (1999), the 36.6% response rate is an adequate return rate. Baruch figured this response rate by averaging the return rates across five management and behavioral science journals for three different years, 1975, 1985, and 1995. He found that the average return rate across journals was 55.6% ($SD = 19.7\%$). However, when upper-management and CEOs were the target populations, he found an average response rate of 35.5% ($SD = 13.3\%$). Baruch explained the lower response rate among these groups as the result of them being more frequently studied. It is also possible that the lower response rate is attributed to these groups' time-demands and level of compensation for their time. Baruch suggested using the latter response rate when upper-management and CEOs are the target population.

Since many of the clients in the present study were upper-management and CEOs, the later average was used to determine the adequacy of the response rate. Including and excluding those coaches who had no returned packets, the 26.8% and

36.6% response rates were adequate, respectively, and similar to Gegner (1997) who reported a 33% response rate from executive participants in her study. Therefore, the response rate of clients appears to be adequate.

A true response rate of direct-report/peers was also difficult to calculate for the same reason a true response rate for clients was difficult to calculate. It is not known whether clients actually invited one or two of their direct-report/peers to participate. Including the eight coaches who had no research materials returned, the response rate from direct-report/peers was 16%. Excluding the eight coaches who had no research materials returned, the response rate was 21%. Baruch's (1999) recommended response rate for studying upper-management and CEOs was used for this sample of participants as well since many direct-reports/peers were also in upper organizational levels. Both response rates fall below the recommended level, though the latter falls only slightly below the guideline. This second response rate is more likely because it is assumed that the eight coaches did not invite client participation, however, not knowing this for certain, the findings may be less generalizable.

The Implications of ECDQ and CDQ Data

This section discusses the results of the ECDQ and CDQ along with the implications of this data. The results of the ECDQ and CDQ will be compared to the results of Gegner (1997), Judge and Cowell (1997), and Hall et al. (1999) as appropriate since these are the only studies reporting similar demographic data. Judge and Cowell (1997) is used much more frequently when discussing the ECDQ because

they reported the most complete demographic data on executive coaches. Gegner (1997) is used much more frequently when discussing the CDQ because she reported the most complete demographic data on executive coaching clients.

The ECDQ gathered demographic information on executive coaches as well as asked coaches open-ended questions regarding their executive coaching practices. Regarding the results of the ECDQ, the demographic variable of age among executive coaches in this study seemed consistent with the age of executive coaches in previous research (Gegner, 1997; Judge & Cowell). The average age of executive coaches in this study was 49.26 years with a range of 29–63. Judge and Cowell reported that 80% of their sample was between the ages of 35 and 55 years old and Gegner (1997) reported that 100% of her sample was between the ages of 35 and 55 ($X = 48.3$). Regarding race, all 27 (100%) coaches in the present study self-identified as Caucasian. Three coaches lived outside of the United States. This result seems consistent with the findings of Gegner (1997) who reported that 100% of executive coach participants in her study were also Caucasian. The demographic variable of years of work experience was also consistent between the present study and Judge and Cowell. In the present study, executive coaches had an average of 25 years work experience. In Judge and Cowell, executive coaches had an average of 24 years work experience. Therefore, on the variables of age, race, and years of work experience the sample of coaches in the present study seems typical of the coaches in previous research.

The variables of gender, educational background, and type of coaching practice differed between the present study and Gegner (1997) as well as Judge and Cowell (1997) study. In the present study, 50% of executive coaches were women and 50% were men whereas in Gegner, 15% of coaches were female and 85% were male, and in Judge and Cowell, 40% of executive coaches were female and 60% were male. One may wonder if in the past four years more women have been entering the field of executive coaching, similarly to the increase of women entering the fields of psychology and law. It is also possible that these differences are due to sampling methods. Judge (personal communication, February 18, 1999) stated that two thirds of the executive coaches in Judge and Cowell (1997) were executive coaches contacted through the American Society for Training and Development (ASTD) and one third were executive coaches found on the Internet. The coaches in Gegner (1997) were contacted through the Personal and Professional Coaches Association (PPCA) and Coach University. This study employed similar, yet broader, methods of finding executive coaches suggesting that differences in gender may not be a result of sampling error.

Another difference in demographic variables among executive coaches in this study as compared to Judge and Cowell (1997) concerned educational level. In the present study, one executive coach (4%) indicated high school as his highest educational level, one coach (4%) indicated two years of community college, eight (30%) indicated bachelor degree, four (15%) indicated doctorate degrees, and one (4%) indicated a medical degree as his highest educational level. Therefore, in this

study, only 15% of executive coaches had doctoral degrees whereas, in Judge and Cowell, 45% had doctoral degrees. Also in Judge and Cowell, more than 90% of executive coaches had master's degrees in business and social science. In this study, less than 45% of executive coaches had master's degrees in business and social science, which suggests that the sample in the present study is slightly less educated than the sample in Judge and Cowell.

Similar to the possibility that more women have entered the practice of executive coaching over the past four years, it is possible that more people in general, from different backgrounds, are entering the practice as well which certainly seems consistent with the practice literature (see Brotman et al., 1998; Harris, 1999). It is also possible that the differences in education across studies is due to the broader sampling methods employed in the present study.

It would have been interesting to examine the effects of executive coaching on leadership for the 16 coaches in the present study who had master's degrees in business and social sciences to determine whether the effects of executive coaching on their clients were greater; however, this could not be investigated due to the very small number of pre/early-coaching clients who returned survey materials for this group of coaches. It is possible that this group of coaches did not invite many pre/early-coaching clients, which may also be a reason for the lack of variability in client MLQ scores. It would have also been interesting to examine the effects of executive coaching on leadership for the 7 coaches who had psychology backgrounds (with and without business degrees) to determine if the effects of executive coaching

on their clients were greater, particularly since Brotman et al. (1998) suggest that psychologists are uniquely qualified to provide executive coaching services, while Garman (2000) did not consistently find psychologists to be viewed as uniquely qualified to this service. Again, this analysis could not be performed due to the low number of responses from pre/early-coaching clients in this group of coaches.

A third difference in executive coach demographic variables between Judge and Cowell (1997) and the present study concerns the type of coaching practice. In the current study, 59% of executive coaches reported working in independent practice, 26% in small practices (1–10 people), 4% in a large practice (more than 10 people), and 11% did not indicate the size of their practice. In Judge and Cowell, 29% of coaches reported working in independent practice, 35% in small practices, and 29% for large practices. In the present study, adding in 12 of the 14 coaches who did not return ECDQs would increase the percentage of executive coaches working in large practices from 4% to 48% because these 12 coaches worked for one large consulting firm which is known from the recruiting procedures. Therefore, more executive coaches in the present study worked either in independent practice or in large firms. The larger number of executive coaches working in private practice in this study may also be a result of more people entering the practice of executive coaching. The increase in people working in large firms may suggest more large firms engaging in this type of service delivery because of increased demand for executive coaching over recent years.

Regarding coaching approach, coaches were asked to choose whether their approach was more behavioral or psychodynamic. In the present study, 10 executive coaches (34%) identified their approach as more behavioral, 1 (4%) as more psychodynamic, 5 (19%) as both psychodynamic and behavioral, 3 (11%) as neither behavioral or psychodynamic, 5 (19%) left the item blank, and 5 (19%) did not respond to this question because they received an earlier version of the ECDQ which excluded the question. Of the 3 executive coaches who identified their approach as “neither,” one identified his approach as neurological “aiming at transformation of ‘being,’” another identified his approach as developmental, and the third did not identify an alternative approach. In hindsight, since many coaches come from disciplines other than psychology, the choices between psychodynamic and behavioral may not have been the most useful. Having said this, it is surprising that most of the coaches in Judge and Cowell (1997) identified their approaches as behavioral or psychodynamic. Of the 3 executive coaches in the present study who did not respond, one had both a master’s degree in philosophy and business and stated, “I cannot respond.” Another coach had a master’s degree in financial planning and the other a bachelor’s degree in education. In addition, recent literature (Laske, 1999b) suggests that a developmental approach to executive coaching should also be considered. It is interesting that one person identified his approach as developmental. It would have been interesting to see how many additional coaches would have identified their approach as developmental had this been an option.

Regarding coaches' further elaboration of their approach to executive coaching, three themes emerged: (1) executive coaching is client-centered and need or goal based, (2) assessment is critical, and (3) executive coaching often focuses on ways in which to close the "gap" between current and ideal performance and functioning. An interesting finding about the first theme deals with the fact that client needs or goals were often but not always performance based. However, whether performance based or personally relevant, all reported goals seem consistent with the International Coach Federation's (2000) definition of executive coaching and Kilburg's (2000) definition, which both focus on performance enhancement but also recognize personal benefits to coaching. The second two themes regarding assessment and "closing the gap" between current and ideal performance also fit with what was discussed in the practice-based literature.

Additional questions asked on the ECDQ were about professional associations and memberships and licenses held. On average, coaches identified three professional associations or memberships, often with the ICF (67%), ASTD (19%) and Coach University (19%). These results seem consistent with the results of Judge and Cowell (1997), who reported that most executive coaches in their study belonged to professional organizations such as the ASTD or the Society for Human Resource Management (SHRM). One executive coach in the present study mentioned a membership with SHRM. Regarding licensures, eight coaches (30%) did not list any licensures, five (19%) reported being certified as masters certified coaches from the ICF, three (11%) reported being graduates or students of Coach University, two (7%)

reported being licensed professional counselors, three (11%) reported other coaching certificates, and four (15%) listed other licensures (registered nursing license, license to practice medicine, nursing home administrator license, and teaching certificate). In this study 30% did not report any licensure at all while 31% reported coaching specific licensures. Whether coaches need to be licensed or certified to practice executive coaching is questionable. As in many professions, the push for licensure or certification may have occurred as a result of the concern over who is providing executive coaching services. Licensure may be helpful and necessary for those individuals who are entering the field without any consulting, business, psychology, or executive development (which for Laske [1999b] is adult development) experience but for those who have this type of experience, it may be a moot point.

Seven coaches (26%) also sent brochure information more fully describing their services. Common themes reviewed in the results chapter included (a) the definition of coaching or definition of a coach, (b) the purpose or end results of coaching, (c) the process of coaching, and (d) coaching clientele. Regarding the definition of coaching services, three brochures identified their services as “coaching,” two identified their services as “executive coaching,” one identified his service as “leadership coaching,” and one identified her services as business coaching which is interesting considering that coach participants in the present study were invited to participate in a study on executive coaching. The question becomes then, are general coaching, leadership coaching, and business coaching the same as executive coaching? The classic text by Hargrove (1995) is about general business coaching and reviews

many principles relevant to executive coaching. The information in this text may be necessary for executive coaching but is it sufficient? In order to answer this question, one needs to know how, if at all, executive coaching is similar and/or different from general business coaching.

The various definitions of coaches in the present study may provide support for the notion that executive coaching remains poorly defined as suggested in the practice literature (see Brotman et al., 1998; Kilburg, 1996b, 2000; Tobias, 1996). It is also possible that similarly to counseling and psychotherapy, there are numerous definitions of services, approaches to practice, and desired outcomes. Maybe it is not a matter of establishing one definition of executive coaching. Instead, maybe it is a matter of establishing numerous definitions, each dependent upon the theory behind the practice, as in counseling and psychotherapy.

Regarding client demographic information, clients had an average age of 42 years; 50% were female, 50% were male; 90% were Caucasian, 8% were non-White, 2% did not indicate race. The results of age and race in this study seem consistent with the results of Gegner (1997) and Hall et al. (1999). Gegner reported the average age of executive participants in her study to be 44.5 years. She also reported that 44 executives (95%) were Caucasian, 1 (2.2%) was African American, 1 (2.2%) was Asian, and 2 (4.2%) did not respond. Hall et al. stated that the majority of executive participants in their study were Caucasian (numbers/percentages not given).

Regarding the gender of client participants, in Gegner (1997), 29% of clients were female and 71% were male, whereas in the present study, 50% were female and 50%

were male. It is possible that the differences in gender are due to sampling methods; however, both studies utilized similar approaches. It is also possible that as the demand for executive coaching increases, and as more women are moving into upper management or executive positions, more women are seeking executive coaching services. The increase of women seeking executive coaching may be similar to the phenomenon of women in general more frequently seeking psychological services than men (Russo & Green, 1993).

Regarding other demographic variables, in the present study, 20% of clients were self-referred for executive coaching services, 78% were other referred, and 2% did not indicate referral source. Half of the coaches in Judge and Cowell (1997) sought executive coaching services for developmental purposes and half for remedial purposes. The fact that the majority of client participants in the present study were other referred does not necessarily indicate whether the referral was for remedial or developmental purposes. Therefore, referral source remains unclear in the present study. Looking at the differences in leadership style between clients in the present study who sought executive coaching for remedial and developmental purposes would have been interesting to determine whether executive coaching had a greater effect for either of these two referral situations; however, this could not be done due to the distinction not being clear.

A statistically significant difference existed on level within organization between the pre/early-coaching clients and post/late-coaching clients ($p < .03$). Within the pre/early-coaching group level of organization was fairly equally

distributed among all levels, whereas within the post/late-coaching group there were more individuals in upper management positions. In Judge and Cowell (1997), typical recipients of executive coaching were mid-level to senior managers, 50% were CEOs or reported to CEOs. Therefore, it appears that the post/late-coaching in the present study fit more closely with the clients in Judge and Cowell than did pre/early-coaching clients. The post/late-coaching group had 68% combined in upper management and CEO positions whereas the pre/early-coaching group had 48% combined in upper management and CEO positions. This difference may have affected the quantitative analysis since the results of Lowe et al.'s (1996) meta-analysis of the MLQ showed that lower level leaders scored higher on transformational variables than higher level leaders. In general, this difference may suggest that older styles of leadership are rewarded at higher levels of organizations and/or it may suggest that private systems are harder to change. Regarding the data in the present study, this difference may suggest that the pre/early-coaching clients were more transformational than expected since they had more individuals in lower organizational positions. If, as Lowe et al. (1996) suggest, higher level leaders have more opportunities to be developed as transformational leaders, then it would be interesting to compare only those clients in upper management and CEO/president positions in the pre/early-coaching and post/late-coaching groups. Therefore, post-hoc ANOVA analyses examining the differences between the 5 pre/early-coaching clients in upper management and CEO/president positions with the 25 post/late-coaching clients in the upper management and CEO/president positions was conducted. Unfortunately, there were

not enough direct-reports for the pre/early-coaching clients to do an ANOVA or *t* test for direct-reports/peers ($n = 3$).

The results based on client ratings revealed statistically-significant differences between the pre/early-coaching condition and the post/late-coaching condition for Idealized Influence–Attributed ($X = 2.9$ vs. 3.5); Idealized Influence–Behavior ($X = 2.8$ vs. 3.5); Inspirational Motivation ($X = 2.9$ vs. 3.9), and Effectiveness ($X = 3.2$ vs. 3.8) as rated by clients ($p \leq .05, .10, .10, .05$, respectively). The effect sizes were large (Eta square = $.311$ – $.515$) and power was moderate to high for all tests ($.535$ – $.843$). In examining the differences between the means for transformational variables, differences of $.60$ – 1.00 occurred. The difference between the mean for Effectiveness was $.40$. These results may suggest that executive coaching has more of an impact for upper-management and CEO clients on three of the five transformational variables: IIA, IIB, and IM as rated by clients. Though leaders have not been found to be the best predictors of leadership (Hogan et al., 1994), their limitations should be consistent across groups, suggesting that the differences between groups is attributable to executive coaching.

Client participants were also asked four open-ended questions regarding: (1) how they found out about executive coaching or who referred them for executive coaching services, (2) what their goals for coaching were and if finished were their goals met, (3) what was or what was expected to be most helpful about their executive coaching experience, and (4) what was or what was expected to be least helpful about their executive coaching experience. Self-referred clients identified

magazine articles, courses taken, colleagues, friends, and National Public Radio as the source of finding coaches. Other-referred clients listed supervisors or internal professional development programs most frequently. This finding is consistent with the practice literature (e.g., Banning, 1997; Smith, 1993) and with Gegner (1997), who found that 72% of the executives in her study became involved in executive coaching through corporate programs. Other-referred clients in the present study also listed coaches or friends as resources for finding coaches. Reasons for being referred included: relationship difficulties, rapidly changing work environments, personal difficulties interfering with work, executive coaching being a positive experience for others in the organization, and strengthening ability to move forward and make leadership decisions. In some instances, these reasons could be both developmental or remedial. These reasons are consistent with the reasons provided in the practice literature (see Kiel, 1996; Saporito, 1996) and consistent with Bass's (1985) conceptualization regarding the need for transformational leaders.

Identified goals were in the areas of: (a) leadership, (b) increased self-awareness/development, (c) goal orientation/future direction, (d) prioritizing, (e) specific actions, (f) communication, (g) balance, and (h) relationships. The goals in the present study are consistent with the goals of previous research: (a) modifying interaction style, (b) dealing more effectively with change, (c) building more trusting relationships, (d) increasing communicating skills, (e) increasing ability to function effectively as a managing partner, (f) increasing internal functioning in contrast to solid external functioning, (g) becoming prepared for presidential duties, and

(h) gaining assistance in redefining unit recently taken over by executive (see Judge & Cowell, 1997; Laske, 1999b).

The items that clients identified in the present study as most helpful largely paralleled what clients identified as goals: (a) self-awareness/development, (b) performance/outcomes, (c) different perspective, (d) objective person, (e) feedback/support, and (f) relationships. An interesting observation is that fact that only two of the six themes provided any insight into the executive coaching process, specifically, what about the executive coaching process was most helpful. Within these two themes what clients seemed to find most helpful was having an objective person (executive coach) with whom to share struggles, dilemmas, and wonderings. They also found support and feedback in the coaching relationship, which many in the practice literature have stated is missing for most executives (e.g., Kiel, 1996; Lukaszewski, 1998; Saporito, 1996). Learning more about what happens in the executive coaching process would be beneficial to understanding how coaching effects change (Laske, 1999b).

The above themes seem consistent with what the executives in Gegner (1997) found to be most helpful. In Gegner, 25 executives (100%) indicated learning more about themselves or gaining new skills, 9 (35%) reported improved interactions with others, and 4 (16%) identified the benefits of having an objective person (coach) as the most valuable learning experiences. Regarding how these results fit with Laske (1999b), it would have been interesting to have more background information on clients in the present study so that their statements, particularly around developmental

and relationship changes, could have been analyzed to determine whether changes were transformational/developmental or merely adaptive.

Regarding what was least helpful; the majority of clients said “nothing” was least helpful. However, when a response was provided, they clustered around three themes: (1) something about the coach, (2) something about clients, or (3) things external to the coach and client. These results seem somewhat consistent with Gegner (1997) who found that executives identified time, the corporate culture, and other people as their greatest obstacles in their executive coaching experience. In Gegner, many stated that there were no obstacles and when they did identify obstacles, they were not about themselves or their coaches. This difference may have been a result of their being asked in person by Gegner versus having anonymity in the present study, possibly freeing them up to say more about least helpful aspects of executive coaching. Even so, the majority of the clients in the present study said “nothing” was least helpful, which provides additional empirical support for the practice-based literature’s statements regarding client satisfaction with executive coaching services.

Hypotheses

Transformational Leadership: (Hypothesis 1)

The first global hypothesis, executive coaching increases transformational leadership, was examined using a two-way MANOVA on the five transformational variables as measured by the MLQ 5x (Short Form). The MANOVA revealed a statistically significant difference for rater (direct-report/peer vs. client). Follow-up

ANOVA analyses on each of the five transformational variables indicated a statistically significant interaction effect on IIA. Simple main effect tests indicated that post/after-coaching clients rated themselves higher than pre/early-coaching clients.

The Idealized Influence–Attributed, IIA, scale was designed to measure charismatic leadership that is attributed to the leader or that impacts the follower in some way. Executive coaching, whether remedial or developmental, was predicted to affect this variable because coaching often addresses how clients impact those with whom they work. The finding that clients in the post/after-coaching condition rated themselves higher on IIA than clients in the pre/early-coaching condition may suggest that executive coaching may change clients' perception of their ability to affect their direct-reports/peers. The fact that there were no differences between pre/early-coaching clients and post/after-coaching clients as rated by direct-reports/peers further supports the idea that differences are in client perceptions versus in actual behaviors.

The fact that the MANOVA on transformational variables for coaching and for the interaction were not statistically significant as well as there being no additional statistically significant ANOVA analyses for coaching condition may be explained in a number of ways. First, small sample size and low power may have resulted in no differences being detected, however, this may not be as likely considering the minimal variability in transformational mean scores between pre/early-coaching clients and post/after-coaching clients (see Table 4). It is important to note that not only were scores similar but they appeared high for both groups. Lowe et al. (1996) conducted a

meta-analysis on the empirical MLQ transformational leadership literature and produced mean scores and standard deviation scores across studies for the MLQ variables. The transformational scale mean scores and standard deviations yielded in the meta-analysis were: Charisma ($X = 2.52$; $SD = 1.04$), Individualized Consideration ($X = 2.50$; $SD = .99$), and Intellectual Stimulation ($X = 2.48$; $SD = .85$). The transformational Charisma factor had not yet been broken down into IIA, IIB, and IM at the time of Lowe et al. In a more recent study by Yammarino and Bass (1990), mean scores were provided for 186 United States Navy Officers. Their means scores and standard deviations on the transformational variables were: Charisma ($X = 2.48$; $SD = 1.26$), Individual Consideration ($X = 2.66$; $SD = 1.17$), Intellectual Stimulation ($X = 2.63$; $SD = 1.15$), and Inspirational leadership ($X = 2.45$; $SD = 1.15$).

The mean scores for transformational variables in the present study were: Idealized Influence–Attributed ($X = 3.04$ – 3.39 ; $SD = .44$ – $.77$), Idealized Influence–Behavior ($X = 3.06$ – 3.30 ; $SD = .48$ – $.86$), Individual Consideration ($X = 3.08$ – 3.28 ; $SD = .49$ – $.74$), Inspirational Motivation ($X = 2.98$ – 3.30 ; $SD = .45$ – $.78$), and Intellectual Stimulation ($X = 2.92$ – 3.11 ; $.37$ – $.64$). Clients in the present study had consistently higher mean scores on all transformational variables, though still within one standard deviation of scores reported in existing literature. These higher scores may be a reason that no differences were found between coaching groups as a result of executive coaching. Higher mean scores also seem consistent with the idea that executive coach participants invited clients who were already high transformational

leaders. It is also possible that pre/early coaching clients benefited from the average 2 months of experience they gained prior to this study.

The lack of findings on transformational variables was surprising, particularly on Individual Consideration, which is the ability to coach others, since prior empirical research suggested that executives more frequently adopted a coaching management style as a result of being coached themselves (see Gegner, 1997). Another explanation for the lack of findings on transformational variables may have been a result of measurement, which will be discussed in the limitations section of this chapter.

Transactional Leadership: (Hypothesis 2)

The second global hypothesis, executive coaching increases positive transactional leadership and decreases passive transactional leadership, was examined by conducting a two-way MANOVA on the three transactional variables as measured by the MLQ 5x (Short Form). The MANOVA results revealed a statistically significant difference for coaching condition. Therefore, follow-up ANOVA analyses were conducted on the three transactional variables to determine which variable(s) was responsible for the difference. The results of the ANOVA on Management-by-Exception (Passive) was statistically significant. The results revealed a statistically significant main effect by coaching condition. Examination of the means showed that pre/early coaching clients rated higher on MEP ($X = 1.37-1.60$) than post/late-coaching clients ($X = 1.14-1.23$). MEP was designed to measure the extent that leaders wait to be informed of performance deviations, errors, and mistakes, which is

considered problematic leadership behavior (Bass & Avolio, 1995). These results provide support for the hypothesis that executive coaching decreases passive transactional leadership and suggests that executive coaching may be a useful intervention for positively impacting nonactive leadership by assisting clients to better recognize and manage the performance deviations, errors and mistakes of their direct-reports/peers. Doing so could have a very practical and meaningful effect for businesses and organizations. Mistakes and errors that go undetected may have the potential for serious costs to companies whether in the form of profit loss or potential liabilities.

The fact that no other follow-up ANOVA analyses on transactional variables were significant may be explained in a number of ways. First, small sample size and low power may have resulted in no differences being detected, however, this may not be as likely considering the minimal differences in transactional mean scores between pre/early-coaching clients and post/later-coaching clients. It is important to note that not only were scores similar across groups but they appeared high for both groups on active transactional scales and low on passive transactional scales. Lowe et al. (1996) conducted a meta-analysis on the empirical MLQ transformational leadership literature and produced mean scores and standard deviation scores across studies for the MLQ variables. The transactional mean scores and standard deviations yielded in the meta-analysis were: Contingent Reward ($X = 1.83$; $SD = .90$) and Management-by-Exception ($X = 2.32$; $SD = .74$). The Management-by-Exception transactional factor had not been broken down into MEA and MEP at the time Lowe et al.

conducted the meta analysis. In a more recently study by Yammarino and Bass (1990), mean scores were provided for 186 United States Navy Officers. Their means scores and standard deviations on transactional variables were: Contingent Rewards ($X = 2.59$; $SD = 1.52$), Management-by-Exception, Active ($X = 2.92$; $SD = 1.29$), Management-by-Exception, Passive ($X = 2.47$; $SD = 1.10$). The mean scores for transactional variables in the present study were: CR ($X = 3.11$ – 3.22 ; $SD = .38$ – $.73$), MEA ($X = 1.52$ – 1.89 ; $SD = .74$ – 1.17), and MEP ($X = 1.19$ – 1.60 ; $SD = .71$ – 1.00). Clients in the present study scored more than one standard deviation higher on CR than did individuals in Lowe et al. (1996) and higher than individuals in Yammarino and Bass (1998), though still within one standard deviation. Clients in the present study also scored more than one standard deviation lower on MEP than individuals in Yammarino and Bass and Lowe et al. Clients in the present study scored one standard deviation lower on MEA than individuals in Lowe et al. and almost one standard deviation lower on MEA than individuals in Yammarino and Bass. It is possible that lower scores on MEA were a result of higher scores on MEP since these two variables seem to be polar opposites. These higher CR scores and lower MEA scores in the present study may be the reason that no differences were found between coaching groups as a result of executive coaching. This pattern of scores is also consistent with the idea that executive coach participants invited clients who were already high active transactional leaders and low passive transactional leaders. It is also possible that pre/early coaching clients underwent changes on CR and MEA as a result of the 2 months of coaching they received prior to this study. Another

explanation for the lack of findings on transactional variables may be a result of measurement.

Non-Leadership: (Hypothesis 3)

The third global hypothesis, executive coaching decreases non-leadership as measured by the MLQ 5x (Short Form), was examined using a two-way ANOVA. The results were not statistically significant. The lack of a statistically significant result may be explained by sample size and low power; however, this may not be as likely considering the little to no differences in Laissez-faire Leadership scores between pre/early-coaching clients and post/late-coaching clients. It is important to note that not only were scores identical or close to identical, they appeared very low for both groups. The results of Lowe et al. (1996) did not include LF; however, the results of Yammarino and Bass (1998) did. The mean LF score for 186 United States Navy Officers was ($X = 1.49$; $SD = 1.52$). The mean score for clients in the present study on LF was ($X = .75-.79$; $SD = .68-.76$). The mean score of clients in the present study was almost half of the mean score for individuals in Yammarino and Bass. These lower LF scores may be a reason that no differences were found between coaching groups as a result of executive coaching. Lower scores on LF is also consistent with the idea that executive coach participants invited clients who were already low on non-leadership behaviors and therefore good leaders.

Outcome Variables: (Hypothesis 4)

The fourth global hypothesis, executive coaching increases outcome variables, was examined using a two-way MANOVA on the three outcome variables tested by the MLQ 5x (Short Form). The results of this MANOVA were nonstatistically significant. No follow-up analyses were conducted. The fact that the MANOVA was not statistically significant may be explained by the small sample size and low power; however, this may not be as likely considering the minimal variability in transactional mean scores between pre/early-coaching clients and post/later-coaching clients. It is important to note that not only were scores similar across groups but they appeared high for both on all outcome scales. The results of Lowe et al. (1996) did not include outcome variables; however the results of Yammarino and Bass (1998) did. The mean scores and standard deviations were: Extra Effort ($X = 2.79$; $SD = .99$), Effectiveness ($X = 2.81$; $SD = 1.06$), and Satisfaction ($X = 3.01$; $SD = 1.59$). The mean scores for outcome variables in the present study were: Extra Effort ($X = 3.06$ – 3.17 ; $SD = .54$ – $.81$), Effectiveness ($X = 3.15$ – 3.32 ; $SD = .56$ – $.81$), and Satisfaction ($X = 3.01$ – 3.30 ; $SD = .56$ – $.84$). Clients in the present study scored consistently higher on Extra Effort and Effectiveness and equal to or higher on Satisfaction. The only larger difference on Satisfaction occurred for the post/later-coaching clients ($X = 3.30$). These higher outcome scores may be a reason that no differences were found between coaching groups as a result of executive coaching. Higher mean scores also seems consistent with the idea that executive coach participants invited clients who had direct-reports who already put forth extra effort, viewed them as more effective, and were more

satisfied. It is also possible that pre/early-coaching clients made changes within the first 2 months of coaching. Again, another explanation for the lack of findings on transactional variables may be an issue of measurement.

Implications of Findings

The results of the ECDQ suggest that executive coaches in the present study are typical of the executive coaches in previous research regarding age and years of work experience (see Gegner, 1997; Judge & Cowell, 1997). The ways in which the present sample of coaches are different was in gender, more being female, and in level of education, fewer having master's or doctoral degrees in business or social sciences. These differences provide support for the varied backgrounds of executive coaches mentioned in the practice research. Since broader sampling methods were used in the present study, it may provide a more accurate depiction of current executive coaches. However, the generalizability of this sample of coaches to the field of coaches is threatened due to low response rate.

The results of the CDQ suggest that the sample of clients in the present study are typical of the sample of clients in previous research on the variables of age and work experience (see Gegner, 1997; Hall et al., 1999) and in their perceptions of coaching as positive (see Gegner, 1997; Olivero et al., 1997). Though the clients in the present study were not asked directly whether their experience of executive coaching was positive, they implied it when responding to the question about most helpful aspects of coaching. Clients were not typical on the variable of gender. More

clients in the present study were female possibly suggesting that over time, more women are seeking executive coaching services than men.

Another way that clients were atypical of clients in previous research was on MLQ scores. Both pre/early-coaching and post/late-coaching clients in the present study scored consistently higher on transformational, active transactional, and non-leadership behavior and consistently lower on passive transactional and non-leadership behavior than clients in previous research (see Lowe et al., 1996; Yammarino & Bass, 1998), which may suggest that clients in the present study were already good leaders. These differences are consistent with the idea that coaches may have chosen clients who were responding, or did respond, well to coaching services. However, it may also suggest that pre/early-coaching clients made changes in the average 2 months of executive coaching they experienced prior to this study. Another explanation may be that only those clients who are “good enough” leaders warrant executive coaching, whether developmental or remedial. This explanation is consistent with the practice literature which suggests that clients referred for remedial coaching are viewed by their organizations as valuable employees (Witherspoon & White, 1996). If the latter is true, coaching may not be about *developing* but instead *enhancing* leadership. In this event, smaller changes in MLQ 5x (Short Form) scores may be meaningful.

Another issue worth revisiting is the fact that there were more pre/early-coaching clients versus post/late-coaching clients in lower organizational levels. Since the results of the meta-analysis conducted by Lowe et al. (1996) found that

lower level leaders scored statistically significantly higher on all transformational scores, a post-hoc analysis was conducted between pre/early-coaching clients and post/late-coaching clients in upper-management and CEO positions. Results from these analyses suggest that larger differences exist between pre/early-coaching clients and post/late-coaching clients on IIA, IIB, and IM. IM had a 1.0 increase, from “fairly often” to “frequently, if not always.” These differences were determined using client ratings but not tested on direct-reports/peers. Therefore, the results should be replicated using direct-report/peer ratings and a larger sample of upper-management and CEO clients in both pre/early-coaching and post/late-coaching conditions. Using direct-report/peer ratings is particularly important since in the overall analyses, post/late-coaching clients rated themselves higher on IIA than pre/early-coaching clients but direct-reports/peers rated both groups similarly.

Furthermore, because there were higher correlations among the transformational scales and between the transformational scales and Contingent Reward in the present study than the correlations among the transformational scales and between the transformational scales and Contingent Reward reported in the manual (see Bass & Avolio, 1995), the validity of the instrument may not be supported with this population. This observation is consistent with the idea that the lack of results may have been an issue of measurement.

These findings have implications for coaches, clients, and organizations because they suggest that executive coaching may impact leadership. However, additional research needs to be conducted to more clearly determine what the effects

are, who they occur for, and whether they are large effects implying the development of leadership or smaller effects implying the enhancement of leadership.

Limitations

The present study had several limitations. The first has to do with the exceptionally low response rate among coaches and slightly low response rate among direct-reports/peers. Although there were many reasons for this low response rate, some expected considering the difficulties in early counseling/therapy outcome research, the generalizability of these findings are limited as a result.

A second limitation concerns measurement. Only one instrument was used in this study; therefore, the results of this study are only as good as the MLQ 5x (Short Form) is for measuring the Full-Range of Leadership Model, which based on the above discussion may not have been that good. There were higher correlations among the transformational scales and between the transformational scales and Contingent Reward in the present study than those reported in the manual (see Bass & Avolio, 1995). Bass and Avolio (1995) state in the manual that previous versions of the MLQ have been criticized for having generally high correlations and because subsequent research has not always replicated the original factor structure. Therefore, it is possible that the MLQ 5x (Short Form) is a better measure of transformational and transactional leadership at the global levels than it is a measure of individual transformational and transaction scales with this population. In addition, having a relatively small number of items per scale may contribute to the difficulty

distinguishing between scales. Finally regarding measurement, including more than one leadership instrument may have yielded additional results, particularly because participants in the present study scored consistently higher on transformational and active transactional scales and consistently lower on passive transactional and non-leadership scales as compared to participants in previous research.

There were also limitations in the analyses conducted in this study. Although MANOVA and ANOVA analyses tend to be very robust against violations of assumptions (Bray & Maxwell, 1985), violations of homogeneity of variance and unequal sample sizes are problematic. However, the violation of homogeneity of variance on the MANOVA analysis on outcome variables in the present study seemed to be a result of the violation of normality. Therefore, this violation does not likely threaten the trustworthiness of the findings. To correct for the ANOVA violations of homogeneity of variance on IIA and CR, the data were transformed; however, the transformations did not correct for the violation. Therefore, the groups were examined to determine whether the smaller or larger group had more variation. Because the larger group had more variation, the ANOVA test statistic was considered more conservative (Stevens, 1992) and therefore the violations was not a likely threat to the trustworthiness of the findings.

Another limitation was the low power in detecting differences between the pre/early-coaching and post/late coaching client groups. In examining the means between groups, differences may have existed on type of company. More post/late-coaching clients were in "other" categories than pre/early coaching clients. Examining

group differences while excluding pre/early-coaching and post/late-coaching clients may have been helpful, particularly when examining group differences only at upper organizational levels yielded different results.

A final limitation is related to the design of the study. Coaches were asked to identify clients who were just beginning coaching or within the first 3 months of coaching. As a result, pre/early-coaching clients had an average of 2 months of executive coaching, which is arguably enough to effect a change. A better design would have compared clients who received little to no coaching with clients who received longer periods of coaching.

Future Research

Future research on whether executive coaching impacts leadership would be beneficial. Specifically, a study similar to the present one conducted on a larger sample, testing one method of executive coaching with clients who have not yet begun coaching and clients who are in the later stages of the coaching process. Ideally, this study would occur in one organization over a longer period of time with upper-management and CEO clients. The study could measure the same clients prior to coaching and subsequent to coaching with multiple measures of leadership. Incorporating the developmental level of the client and coach as suggested by Laske (1999b) would also be interesting to determine its impact on transformational leadership change.

Additional qualitative research could also be conducted, which is not dependent upon large sample sizes. This type of research might better tease out any changes in leadership that occur as a result of executive coaching. Additional qualitative research may also contribute to a greater understanding of the coaching process and how it contributes to change.

Further research specifically about the coaching process is also imperative in better understanding executive coaching outcomes. Laske (1999b) identified this need in his dissertation research and suggested that the developmental level of the coach helps facilitate or hinder this process. Gegner (1997) found that the self-efficacy experienced by clients and the communication style expressed by coaches, based on encouragement, are the most critical components of the coaching process as measured by increased client responsibility and awareness. Olivero et al. (1997) suggested that goal setting and public presentation are the most critical elements in the coaching process because goals can be “specific, challenging, measurable, assignable, realistic, and time-bound” (p. 466) and have been found to increase self-efficacy whereas presentations hold people to higher levels of standards. The present study contributes to the knowledge about the executive coaching process to the extent that clients expressed what was most helpful about their coaching experience. Particularly, their comments regarding having an objective person who could listen, support, challenge, and provide feedback. Providing feedback has been considered the hallmark of executive coaching in much of the practice literature (Waclawski & Church, 1998; Witherspoon & White, 1996). As such, it is surprising that Gegner

(1997) did not find higher correlations between feedback and responsibility and awareness.

One final point regarding research is important to make. Gaining access to executive coaching clients is a difficult feat when one is not fully established in the consultation field. And, since many more traditional graduate students are entering the field of consultation, there are increasing opportunities for conducting research. Consultation organizations may benefit from supporting academic research. APA and other organizations may consider ways that they might help facilitate this research and relationships between students and consulting organizations. The future of consulting practice seems, at some level, dependent upon the research that is produced supporting the use of consultation services.

Appendix A

Sample Questions of the Multifactor Leadership Questionnaire 5x (Short Form)

MLQ 5x (Short Form)**Sample Questions**

1. **Talks to us about his/her most important values and beliefs (IIB)**
2. **Envisions exciting new possibilities (IM)**
3. **Gives me what I want in exchange for my support (CR)**
4. **Fails to intervene until problems become serious (MEP)**
5. **Avoids getting involved when important issues arise (LF)**

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Appendix B
Executive Coach Demographic Questionnaire

Executive Coach Demographic Questionnaire

1. Name: _____ 2. Age: _____ 3. Gender: _____
4. Race/Ethnicity _____ 5. Highest Degree earned: _____
6. Discipline of highest degree: _____ 7. Total Years Work Experience: _____
8. Type of work experience: _____
9. Number of years coaching experience: _____
10. Current employment setting:
- | | |
|--|--------------------------|
| Independent practice | <input type="checkbox"/> |
| Small consulting firm (1-10 coaches) | <input type="checkbox"/> |
| Large consulting firm (10 or more coaches) | <input type="checkbox"/> |
11. Current telephone/email and preferred method of contact: _____

12. Please list current professional associations and memberships: _____

13. Please list any licenses held: _____
14. Please describe your approach to coaching: _____

15. Do you consider your approach more behavioral or psychodynamic? _____
16. Please list any instruments or assessments used in coaching: _____

17. How long does your typical coaching intervention last? _____
18. Total # of executives (pre & post coached) who might participate in this study? _____
19. If you have any promotional materials regarding your services please mail them with this form to the researcher. Thank you.

Appendix C
Client Demographic Questionnaire

Client Demographic Questionnaire

1. Age: _____ 2. Gender: _____ 3. Race/Ethnicity _____
4. Highest degree earned: _____ 5. Discipline degree was earned in: _____
6. Years of Work Experience: _____ 7. Years Experience in Leadership Role: _____
8. Current Occupational Title: _____ 9. Years in Current Position: _____
10. What is your current level within your current organization?
- Lower management
- Middle Management
- Upper Management
- CEO or President
- Other: _____
11. What type of the company are you currently employed?
- Business
- Industry
- Government
- Other: _____
12. Referral: self-referred? other-referred?
13. If self-referred, how did you find out about executive coaching? _____
- _____
14. If other-referred, who did the referring and why? _____
- _____
15. What were/are your goals for coaching (if finished were they met)? _____
- _____
16. Are you currently in the process of being coached? Yes No If yes, how long have you received coaching services? _____
17. Have you received coaching services in the past. Yes No If yes, how long ago? _____
18. What was/is expected to be most helpful about your executive coaching experience?
- _____
19. What was/is expected to be least helpful about your executive coaching experience?
- _____

Appendix D
Initial Contact Letter

(Insert Date)

(Insert Address)

Dear (individual coach):

I am writing to determine your interest in an important study about the effectiveness of executive coaching. This study is part of my doctoral dissertation, and will measure the extent to which executive coaching increases leadership by comparing executives who have received coaching with executives who have not on a leadership instrument. As someone who is involved in executive coaching, you may find the results of this study helpful in your work and in promoting the cause of coaching and leadership development.

Your participation will be helpful to me but may also have three benefits to you:

- **You will contribute to the professional knowledge about whether executive coaching increases leadership**
- **The results of this study, if they find that executive coaching increases leadership, could be used as a marketing tool. If you request one, an executive summary will be provided to you.**
- **You could win a \$200.00 participation honorarium A lottery drawing among all of the participating coaches will be conducted.**

I appreciate that you have many commitments but hope that you will agree to help in this worthwhile cause. The details of participation are listed on the following page. Please indicate your interest by checking the appropriate space below and return this letter to me in the self-addressed stamped envelope provided.

Yes, I am interested.

Not sure, but I would like to learn more. Please contact me at: _____

Sorry, I cannot help you. (If you could provide an explanation it may be helpful to my research study and design.

Thank you for your consideration. I look forward to receiving your response.

Sincerely,

**Sheila Kampa-Kokesch, M.A.
Doctoral Student**

**Mary Z. Anderson, Ph.D.
Doctoral Advisor**

Appendix E
Details of Participation

Details of Participation

Interested coaches will be asked to:

- **Sign a consent document and answer a brief Executive Coach Demographic Questionnaire. (15 minutes)**
- **Identify 1-4 executives who have recently received your executive coaching services (0-3 months post) and 1-4 executives who are awaiting services or are in the assessment/precoaching phase and invite them to participate. Invite (2-4) subordinate & (1-2) supervisor participation. (Executives will identify these individuals; 10 minutes)**
- **Mail or hand-deliver preassembled research materials; mail prewritten follow-ups.(10 minutes)**
- **Forward any evaluation data gathered on particular executive coaching interventions to research if executives and coach both agree. And forward any promotional materials on my executive coaching services to the researcher. (5-20 minutes)**
- **Less than an hour total over the course of 1-2 months**

Interested executives will be asked to:

- **Answer leadership instrument & short Executive Demographic Questionnaire.**
- **(15-25 minutes)**
- **Identify (1-4) subordinates and (1-2) supervisors who may be willing to answer the leadership instrument on their leadership style. (2-5 minutes)**
- **Between 17 and 30 minutes total (one sitting).**

Interested subordinates/supervisors will be asked to:

- **Answer leadership instrument. (10-15 minutes)**
- **Between 10 and 15 minutes total (one sitting).**

Appendix F
Follow-up to Coach Invitations

(Insert Date):

(Insert Address):

Dear (Insert name of Coach):

I am writing to follow-up on the letter you recently received regarding your interest in a study about executive coaching and leadership. Please remember that if you are interested in this study, your participation would take less than an hour total over the course of two months. Again, this letter is just a reminder in case you were planning to return the first letter but have not done so yet.

I will be sending a second letter in approximately ten days and then will have no further contact with you if you chose not to participate. Thank you for your time and consideration. Please feel free to call me at (616-337-4158) or email me at sheila.kampa-kokesch@wmich.edu if you have any questions.

Sincerely,

Sheila Kampa-Kokesch, M.A.

Appendix G
Agreement to Participate Form

WESTERN MICHIGAN UNIVERSITY

H. S. I. R. B.

Approved for use for one year from this date:

JAN 27 2000

x *Sheila Kampa-Kokesch*
 BOARD CHAIR

Agreement to Participate

I am being invited to participate in a study entitled "Executive coaching as an individually tailored consultation intervention: Does it increase leadership?" The researcher in this study is Sheila Kampa-Kokesch under the supervision of Dr. Mary Anderson. This study is being conducted as partial fulfillment of the doctor of philosophy degree.

My participation in this study will help determine whether executive coaching increases leadership. If this study finds that it does, then it will gain empirical validation as an effective consultation intervention, thus potentially increasing the demand. If these results occur, then the specific executive coaching interventions used in this study will be validated. Thus, I could market my approach as one that has been empirically validated. A second benefit is a \$200.00 raffle. At the end of the study, all participating coaches' names will be put in a hat and one will be drawn to win \$200.00. Participating in the study is not expected to pose any risks to me. However, as in all research, there may be unforeseen risks to participants. If accidental injury occurs, no compensation or additional treatment will be made available.

My participation involves (a) responding to an Executive Coach Demographic Questionnaire (ECDQ), (b) identifying (1-4) clients who I have provided executive coaching services to who might be willing to participate and (1-4) clients who are either awaiting my executive coaching services or are in the early stages of coaching (assessment or early coaching stage) who might be willing to participate, (c) mailing pre-assembled, postage-paid research materials to the clients I identify and sending 2 follow-up postcards or emails to them, and (d) forwarding any promotional materials that I have regarding my services to the researcher. (Clients I invite may be executives, CEO's, managers, etc., so long as I am providing, or will provide, executive coaching services.) More detailed instructions will be provided if I agree to participate.

Client participation is anonymous. The Researcher will have no names of clients. Research packets will be numbered. Surveys will never be associated with names. As part of their participation, clients you identify will be asked to give a survey to two direct-reports/peers by placing it in the direct-report's company mailbox, mailing it, or hand delivering it. These materials will also be pre-assembled, postage paid, and anonymous. Clients will not be asked to follow-up on the surveys given to direct-reports/peers. Direct reports and peers will not know that the purpose of this study is to investigate executive coaching outcomes. They will only be told that it is exploring leadership. Therefore, the confidential nature of executive coaching is preserved.

My participation in this study is entirely voluntary and I may refuse to participate without penalty by simply not returning the consent document and ECDQ. I may also cease to participate at any time throughout the study.

If I have any questions or concerns about this study, I may contact Sheila Kampa-Kokesch at (616) 337-4158 or Dr. Mary Anderson at (616) 387-5113. I may also contact the Chair of the Human Subjects Institutional Review Board at Western Michigan University at (616) 387-8293 or the Vice-President for Research at the university at (616) 387-8293 with any concerns or questions.

This consent document has been approved for use for one year by the Human Subjects Institutional Review Board (HSIRB) as indicated by the stamped date and signature of the board chair in the upper right corner. Participants should not sign this document if the corner does not show a stamped date and signature.

→

WESTERN MICHIGAN UNIVERSITY

H. S. I. R. B.

Approved for use for one year from this date:

JAN 27 2000


 x *Sylvia L. Culp*
 HSIRB Chair

My signature below indicates that I agree to:

- Sign a consent document and answer a brief Executive Coach Demographic Questionnaire. (5-10 minutes)
- Identify (1-4) clients who have recently received your executive coaching services (are in the later stages, or have finished within past 3 months) and (1-4) executives who are awaiting services or are in the assessment/early coaching stage and invite their participation. (5-10 minutes)
- Mail or hand-deliver pre-assembled research materials; mail or email 2 pre-written follow-ups. (5-10 minutes)
- Total participation time will be 15-30 minutes over the course of 1 month

 Signature

(Coaches)

 Date

Appendix H

Follow-up to AP/ECDQ (Mail/Email)

(Insert Date)

(Insert Address)

Dear (Insert Name of Coach):

You were recently sent an Agreement to Participate (AP) and Executive Coach Demographic Questionnaire (ECDQ) as part of a study on executive coaching and leadership. This letter/email is being sent as a follow up to this information.

If you are interested in participating, once you fill out and return the AP and ECDQ, I will send you the remaining information. Please remember that your participation will take between 15 and 30 minutes over the course of one month. Again, this is just a reminder in case you were planning to return the AP and ECDQ but have not done so yet.

I will be sending a second letter/email in approximately ten days and then will have no further contact with you if you chose not to participate. Thank you for your time and consideration. Please feel free to call me at (616-337-4158) or email me at (sheila.kampa-kokesch@wmich.edu) if you have any questions.

Sincerely,

Sheila Kampa-Kokesch, M.A.

Appendix I

Follow-up to AP/ECDQ (Telephone Call/Message)

Telephone Call Script

Hello (name of coach). This is Sheila Kampa-Kokesch. I recently sent to you an Agreement to Participate (AP) form and Executive Coach Demographic Questionnaire (ECDQ) as part of a study on executive coaching and leadership. I am calling to see whether you have any questions about this information or the study. (Answer any questions they have)

If you decide to fill out and return the AP and ECDQ, I will send to you the research materials. Please remember that your participation will take between 15 and 30 minutes over the course of one month and client participation is anonymous. I will never have any client names.

If more convenient, I could call again in approximately 10 days? Would that be helpful? If no, thank you for your time. If yes, please feel free call or email me in the meantime if you have any questions about the study or your participation.

Take care. (if they have sent it back add "I look forward to working with you further on this project).

(If answering machine)

Hello (name of coach). This is Sheila Kampa-Kokesch. I recently sent to you an Agreement to Participate (AP) form and Executive Coach Demographic Questionnaire (ECDQ) as part of a study on executive coaching and leadership. I am calling to see whether you have any questions about this information or the study.

If you decide to fill out and return the AP and ECDQ, I will then send to you the research materials. Please remember that your participation will take between 15 and 30 minutes over the course of one month and client participation is anonymous. I will never have any client names.

I will follow-up again in approximately 10 days and will then have no further contact if you chose not to participate. Please feel free to return this call or email (sheila.kampa-kokesch@wmich.edu) at any time if you have any questions about the study or your participation.

Take care. (if they have sent it back add "I look forward to working with you further on this project).

Appendix J
Instructions to Coaches

Instruction to Coaches

This packet of materials should include:

- **Instruction to Coaches**
- **Written Script Inviting Client Participation**
- **Follow-up cards.**
- **Preassembled total client packets:**
 - **1 client research packet + 2 direct reports/peer research packets**

Steps for Participation.

- 1. Invite client participation by reading Written Script Inviting Participation**
- 2. Mail or hand-deliver client research packets to clients who agree to receive the information.**
- 3. Sign and mail prepaid reminder cards (or send via email), 10 and 20 days after providing client research packets to individuals. The researcher will email or call to remind you to send the cards. If you would rather email the reminder, the researcher will send the content to your email address.**
- 4. Send any promotional materials you have regarding your executive coaching services if you have not yet done so.**

Again, if you have questions or concerns please contact me via email at sheila.kampakokesch@wmich.edu or telephone at (616) 337-4158. Thank you again for your participation.

Appendix K
Written Script Inviting Client Participation

Written Script Inviting Client Participation

**** Please read script as written to ensure that each individual receives the same invitation and avoid coercion. Try to avoid adding anything additional.**

I am distributing survey materials about executive coaching outcomes for a researcher at Western Michigan University as partial fulfillment of the doctor of philosophy degree. I would like to mail you some materials so that you could look them over and decide whether or not to fill them out. It would take you between 15 and 25 minutes to fill out the materials. If you are willing to look over the materials, I will mail or deliver them shortly. I will also mail two reminder cards about the materials approximately two and four weeks after delivering the survey materials. The researcher will never have your name or know who I gave given materials to. Furthermore, I will not necessarily know whether or not you chose to participate and your responses will be completely anonymous if you do chose to participate. The information contained in the mailing should give you all the information you need to decide whether or not to participate. May I mail or give you the survey materials?

Appendix L
Reminder Cards/Email Messages

Reminder Card/Email Message

This postcard is being sent as a follow-up to the survey information you recently received. Please remember that your participation is anonymous, neither the researcher nor myself will know whether you complete the information. Again, this card is just a reminder in case you were planning on completing the survey but have not gotten around to doing so yet. If you have completed the survey, please disregard this card.

I will send a second postcard out in another two weeks and then I will not have further contact so that you will not feel pressured to return the survey.

Signature of distributor (coach):

Appendix M

Follow-up to Total Research Packets (Mail/Email)

(Insert Date)

(Insert Address)

Dear (Insert Name of Coach):

You were recently sent the materials to participate in a study on executive coaching and leadership. I wanted to follow up with you to see if you have been successful in inviting participation and distributing materials. I also wanted to determine whether you have any questions or concerns regarding your participation.

I hope you are finding the instructions easy to follow and your participation enjoyable. Please feel free to call me at (616-337-4158) or email me at (sheila.kampa-kokesch@wmich.edu) if you need further assistance.

Sincerely,

Sheila Kampa-Kokesch, M.A.

Appendix N

**Follow-up to Total Research Packets
(Telephone Call/Message)**

Telephone Call Script

Hello (Name of Coach). This is Sheila Kampa-Kokesch. I recently sent to you materials to participate in a study on executive coaching and leadership. I'm calling to see whether you have been successful in inviting participation and distributing materials or determine if you have any questions or concerns regarding your participation or the study.

Answer any questions they have.

Thank you very much. Please feel free to call or email me if you have any questions or concerns at a later date.

Sincerely,

Sheila Kampa-Kokesch, M.A.

Appendix O
Client Consent

WESTERN MICHIGAN UNIVERSITY
 H. S. I. R. B.
 Approved for use for one year from this date:

JAN 27 2000

Sylvia Culp
 HSIRB Chair

Request to Complete a Survey (Clients)

I am being invited to participate in a study entitled "Executive coaching as an individually tailored consultation intervention: Does it increase leadership?" Sheila Kampa-Kokesch is conducting this study under the supervision of Dr. Mary Anderson as part of Ms. Kampa-Kokesch's dissertation requirements.

My participation in this study consists of (a) responding to a 45-item leadership survey, (b) filling out a brief demographic questionnaire, and (c) giving a different form of the leadership survey to two direct reports or peers (if I do not have direct reports) who might be willing to anonymously complete the leadership survey on my leadership style. My direct reports/peers will not know about my executive coaching status. They will be informed that this study is looking at leadership. My total participation should take between 15 and 25 minutes. My replies will be completely anonymous and I should not put my name anywhere on the forms. I may choose to not answer any question and simply leave it blank. If I choose not to participate in this study, I will discard the survey materials. Returning the survey materials indicates that I consent for my answers to be used in this study. If I have questions, I may contact Sheila Kampa-Kokesch (616) 337-4158, Dr. Mary Anderson (616) 387-5113, the Human Subjects Institutional Review Board (616) 387-8293, or the Vice-President for Research (616) 387-8298.

This consent document has been approved for use for one year by the Human Subjects Institutional Review Board (HSIRB) as indicated by the stamped date and signature of the board chair in the upper right corner. Participants should discard this document if the corner does not show a stamped date and signature.

If I agree to participate, I will:

- Respond to MLQ leadership questionnaire and Executive Demographic Questionnaire & mail it to the researcher in the provided envelope. (15-20 minutes)
- Pass on a different form of the MLQ to two direct reports or peers who might be willing to fill out the MLQ on my leadership style by placing the information in their company mailbox, mailing it to them, or handing it to them. If I hand it to them, I will say, "please take a look at this information" and nothing else. A letter inside will describe the survey materials for direct-reports/peers. Before giving survey materials, I will also open the envelopes and write my name on the inside piece of paper so my direct reports/peers know whom to rate. This piece of paper will not be returned to the researcher. (2-5 minutes)

Appendix P
Identification Form

Identification Form

I, _____, am participating in a study on executive leadership. Enclosed are survey materials asking you to anonymously rate my leadership style. Your participation is completely voluntary and anonymous. If you choose to participate, it should take you between 10 and 15 minutes to fill out the survey. After filling it out, please mail it to the researcher in the provided envelope. **DO NOT** mail this form to the researcher, instead please shred it when you are finished. Thank you.

Sincerely,

Appendix Q
Direct-Report/Peer Consent

WESTERN MICHIGAN UNIVERSITY
 H. S. I. R. B.
 Approved for use for one year from this date:

JAN 27 2000

Sheila Kampa-Kokesch
 HSIRB Chair

Request to Complete a Survey (Direct Reports/Peers)

I am being invited to participate in a study on leadership, being conducted by Sheila Kampa-Kokesch under the supervision of Dr. Mary Anderson as part of Ms. Kampa-Kokesch's dissertation requirements.

My participation in this study consists of responding to a 45-item leadership survey, which should take approximately 10-15 minutes. My answers will be completely anonymous and I should not put my name anywhere on the form. I may choose to not answer any question and simply leave it blank. If I choose not to participate in this study, I will discard the survey materials. Returning the survey materials indicates that I consent for my answers to be used in this study. If I have questions, I may contact Sheila Kampa-Kokesch (616) 337-4158, Dr. Mary Anderson (616) 387-5113, the Human Subjects Institutional Review Board (616) 387-8293, or the Vice-President for Research (616) 387-8298.

This consent document has been approved for use for one year by the Human Subjects Institutional Review Board (HSIRB) as indicated by the stamped date and signature of the board chair in the upper right corner. Participants should discard this document if the corner does not show a stamped date and signature.

My participation involves:

- anonymously responding to the leadership questionnaire regarding the leadership style of the individual who gave me this survey and mailing it to the researcher in the provided envelope. (10-15 minute)

Appendix R

**Human Subjects Institutional Review Board
Letter of Approval**

WESTERN MICHIGAN UNIVERSITY

Date: 27 January 2000

To: Mary Anderson, Principal Investigator
Sheila Kampa-Kokesch, Student Investigator for dissertation

From: Sylvia Culp, Chair *Sylvia Culp*

Re: HSIRB Project Number 99-12-13

This letter will serve as confirmation that your research project entitled "Executive Coaching as an Individually Tailored Consultation Intervention: Does it Increase Leadership?" has been **approved** under the **expedited** category of review by the Human Subjects Institutional Review Board. The conditions and duration of this approval are specified in the Policies of Western Michigan University. You may now begin to implement the research as described in the application.

Please note that you may **only** conduct this research exactly in the form it was approved. You must seek specific board approval for any changes in this project. You must also seek reapproval if the project extends beyond the termination date noted below. In addition if there are any unanticipated adverse reactions or unanticipated events associated with the conduct of this research, you should immediately suspend the project and contact the Chair of the HSIRB for consultation.

The Board wishes you success in the pursuit of your research goals.

Approval Termination: 27 January 2001

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